

FISCAL YEAR 2003 APPLICATION FOR NEW GRANTS FOR THE EARLY READING FIRST PROGRAM

Title I, Part B, Subpart 2,
Elementary and Secondary Education Act of 1965
as amended by No Child Left Behind Act, 2001, Public Law 107-110

CFDA Number: 84.359A – Pre-Application
CFDA Number: 84.359B – Full Application

FORM APPROVED
OMB No. 1810-0654
Expiration Date: October 31, 2004



DATED MATERIAL – OPEN IMMEDIATELY

Closing Dates for Application Transmittal:

Pre-Application: April 11, 2003
Full Application (for invitees only): June 27, 2003

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless that collection displays a valid OMB control number. The valid OMB control number for this information collection is **1810-0654** (expiration date: October 31, 2004). The time required to complete this information collection is estimated to average 15 hours per response for the Pre-Application, and 23 hours per response for the Full Application, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments about the accuracy of the time estimate or suggestions for improving this form, or comments or concerns about the status of your individual submission of this form, write directly to:** Ms. Mary Anne Lesiak, Student Achievement and School Accountability Programs, Office of Elementary and Secondary Education, U.S. Department of Education, 400 Maryland Avenue, SW, Rm. 3W106, Washington, D.C. 20202-6132; (202) 260-0999; E-mail: MaryAnne.Lesiak@ed.gov.

Table of Contents

	Page
<u>Section A: Dear Applicant Letter</u>	
Letter from the Under Secretary	A-1
<u>Section B: Early Reading First Program Overview</u>	
The Challenge: To Provide High-Quality Early Childhood Education Programs for At-Risk Preschool-age Children to Prevent Later Reading Difficulties and Ensure Reading Success	
	B-1
Meeting the Challenge: The Early Reading First Program	B-2
Program Overview	B-3
What Projects Must Do	B-3
Who May Apply	B-5
How the Application Process Will Work	B-6
<u>Section C: Federal Register Notice and Program Authorization</u>	
Notice Inviting Applications	C-1
Authorizing Statutory Language	C-17
<u>Section D: The Pre-Application – Phase 1 (CFDA No. 84.359A)</u>	
The Pre-Application Process	D-1
Pre-Application Deadline	D-1
Pre-Application Procedures and Instructions	D-1
Pre-Application Selection Criteria and Competitive Priorities	D-7
Pre-Application Selection Criteria	D-9
Pre-Application Competitive Priority 1 (Children from Low-Income Families)	D-13
Pre-Application Competitive Priority 2 (Novice Applicant)	D-15
Pre-Application Forms	D-17
ED Form 424 (Application For Federal Assistance – CFDA # 84.359A)	D-19
Pre-Application Form A - Applicant Eligibility	D-27
Pre-Application Form B – Competitive Priority 1 (Children from Low-Income Families)	D-29
Survey on Ensuring Equal Opportunity for Applicants	D-31
Pre-Application Final Checklist	D-35
<u>Section E: The Full Application – Phase 2 (CFDA No. 84.359B)</u>	
The Full Application Process	E-1
Full Application Deadline	E-1
Full Application Procedures and Instructions	E-1
Full Application Selection Criteria	E-7
Full Application Competitive Priority (Novice Applicant)	E-11
Budget Information	E-13
Full Application Final Checklist	E-17
Full Application Forms	E-19
ED Form 424 (Application For Federal Assistance – CFDA # 84.359B)	

ED Form 524 (Budget Information Form – CFDA # 84.359B)
Assurances – Non-Construction Programs (Standard Form 424B)
**Certification Regarding Lobbying; Debarment, Supervision and other
Responsibility Matters; and Drug free Workplace Requirements (ED Form
80-0013)**
**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary
Exclusion – Lower Tier Covered Transactions (ED Form 80.0014) (do not
submit with your application; for applicant information and use)**
Disclosure of Lobbying Activities (SF LLL) (submit if applicable)
Notice to All Applicants (Section 427, GEPA)
Other Important Information
Executive Order 12372 (Intergovernmental Review of Federal Programs)
Single State Point of Contact List
**Important Notice to Prospective Participants in U.S. Department of
Education Contract and Grant Programs**

Section A:

DEAR APPLICANT LETTER

Dear Applicant:

Thank you for your interest in the Early Reading First Program administered by the U.S. Department of Education, Office of Elementary and Secondary Education. Early Reading First is a Federal grant program that is part of the President's important early childhood initiative, "Good Start, Grow Smart." These grants are designed to help existing early childhood education programs become centers of educational excellence for preschool-age children. Through improvements in the instruction and the classroom environment, children will develop oral language skills, phonological awareness, print awareness, and alphabet knowledge. These pre-reading skills prepare children for later school success. Many of America's young children face daunting challenges as they enter kindergarten lacking the essential reading readiness skills necessary to succeed. Early Reading First offers an exciting opportunity to meet this challenge by helping to ensure that children are provided with high-quality preschool education.

The Congress appropriated approximately \$75 million for Early Reading First for fiscal year 2003. The Department will award the grants on a competitive basis for a project period of up to 3 years. The Department estimates that it will make between 17 and 250 grant awards, ranging between \$300,000 and \$1,500,000 per year or \$900,000 and \$4,500,000 for a three-year period.

There are two types of applicants eligible for these grants: eligible local educational agencies (LEAs); and public or private organizations or agencies, including faith-based organizations, located in communities served by those eligible LEAs. Other partners also may be involved in developing and implementing the project. A list of eligible LEAs in each State is located on the Department's website at the following address: <http://www.ed.gov/offices/OESE/earlyreading.index.html>. Application information, instructions, pre-application forms, and full application forms can be found within this application package, and also are available on the Department's website at the above address. Please review the entire application package carefully before preparing and submitting your application.

The Department will use a two-phase system to select award recipients that will include a pre-application and a full application. **All applicants must submit a pre-application that briefly addresses certain key concepts. The closing date for transmittal of pre-applications is April 11, 2003. All pre-applications must be mailed and postmarked on or before that deadline date. (If applicants choose to hand-deliver pre-applications to the Application Control Center, they must be received by April 11, 2003 at 4:30 p.m., Washington, DC time.) Any applications postmarked or hand-delivered after that deadline will not be read.** The Department requires applicants to submit one signed original and at least two complete copies of the pre-application. Although not required, it will facilitate the pre-application review process if applicants include two additional copies for a total of one original and four copies of their pre-application.

The Department, through a peer review panel of experts, will evaluate each eligible and timely pre-application on the pre-application selection criteria and will determine whether each pre-application qualifies for additional points under two pre-application competitive priorities included in this notice. In determining which applicants to invite to submit full applications, the Department will consider the rank order of the pre-applications based on the pre-application selection criteria and competitive priorities.

Applicants that are invited to submit full applications will respond to more specific selection criteria indicated in the full application portion of this guide, and also prepare and submit budget documents. The Department, through a separate peer review panel of experts, will evaluate each eligible and timely full application on the full application selection criteria and will determine whether each full application qualifies for additional points under one full application competitive priority included in this notice. The Department will select applicants for funding based on the quality of the full applications, including their

rank order based on the full application selection criteria and competitive priority. In making funding decisions, the Department will use the procedures in 34 CFR 75.217. When making awards, the Department may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program. The Department anticipates making final awards in September 2003.

The closing date for the transmittal of full applications is June 27, 2003, which will be approximately 6 weeks after the date applicants will be invited to submit full applications. All full applications must be mailed and postmarked on or before that deadline date. (If applicants choose to hand-deliver Full Applications to the Application Control Center, they must be received by June 27, 2003 at 4:30 p.m., Washington, DC time.) Any Full Applications postmarked or hand-delivered after that deadline will not be read. The Department requires applicants to submit one signed original and at least two copies of the complete full application. Although not required, it will facilitate the full application review process if applicants include two additional copies for a total of one original and four copies of their full application.

Upon receipt, the Application Control Center will assign each pre-application and full application an identification number, and advise you of that number in a notification of receipt. Please refer to this number in any further correspondence concerning your application(s).

The Department anticipates announcing FY 2003 Early Reading First Grant awards in September 2003. For further information concerning this program or the application process, please use our website at the above address. If you have a specific question, please contact Mary Anne Lesiak by e-mail at erf@ed.gov, or by telephone at (202) 260-4555. You can also contact the Early Reading First staff by mail at:

Early Reading First Grant Program
attn: Mary Anne Lesiak
Student Achievement and School Accountability Programs
U.S. Department of Education
Office of Elementary and Secondary Education
400 Maryland Avenue, SW
Washington, DC 20202-6132

Again, thank you for your interest and for your commitment to improving early education programs for our at-risk children.

Sincerely,

Jacquelyn C. Jackson, Ed.D.
Acting Director
Student Achievement and
School Accountability Programs

Section B:

EARLY READING FIRST
PROGRAM OVERVIEW

**THE CHALLENGE:
TO PROVIDE HIGH QUALITY EARLY CHILDHOOD EDUCATION
PROGRAMS FOR AT-RISK PRESCHOOL-AGE CHILDREN TO
PREVENT LATER READING DIFFICULTIES
AND ENSURE READING SUCCESS**

Many children in our country do not have access to high-quality preschool services; this is particularly true of children living in poverty. Studies show that a high percentage of children from low-income families attend preschool programs that may successfully address other developmental domains, but that often fail to provide the language, cognitive, and early reading instruction and activities needed to support school readiness. These children are more likely to be enrolled in preschool programs that have high annual staff turnover, have less access to research-based materials and resources in language, cognitive, and reading development, and have less professional development in those areas.

Prevention of academic difficulties has been shown to be more effective than later remediation. The data are very clear about what happens to children who start school behind, particularly in their development of language, cognitive, and early reading skills. They stay behind. Juel (1988) found that 87 percent of children who were poor readers at the end of the first grade remained poor readers at the end of fourth grade. However, we have found that we can reduce this failure significantly with appropriate scientifically based early intervention in preschool, kindergarten and first and second grade (see Ramey & Campbell, 1991). Furthermore, follow-up studies confirmed that the earlier significant academic advantage associated with high quality preschool services persisted through ten years in school (Ramey & Campbell, 1994, 1995).

The research of the last several years is compelling about the kinds of skills young children must have to become successful readers. These skills include *oral language* (expressive and receptive language, including vocabulary development), *phonological awareness* (rhyming, blending, segmenting), *awareness of the conventions of print*, and *alphabet knowledge* (letter recognition). Reading is a learned skill, not a biological awakening. Therefore, children need coherent, skill-based instruction in these areas during the years before entering kindergarten. Research shows that children who participate in high-quality preschool programs benefit during those early years, upon kindergarten entry, and for years to come. These children have higher reading and math scores, less grade retention, better social skills, fewer teen pregnancies, and less participation in welfare programs (see Reynolds, 2000; Schweinhart & Weikart, 1980).

The ultimate goal of Early Reading First is to prevent later reading difficulties. The program is designed to prepare children to enter kindergarten with the necessary cognitive, early language and literacy skills for success in school. Preschool classroom environments will be rich in age-appropriate print. Preschool teachers will deliver intentional and explicit instruction based upon scientific research, and will conduct ongoing screening assessments to determine what skills children are learning and to identify children who may be at risk for reading failure. Preschool staff will be provided with continuous and ongoing professional development that includes mentoring and coaching in the classroom. Through these research-based strategies, Early Reading First provides a unique opportunity to make dramatic improvements in how we teach our preschool-age children and prepare them for future reading and school success.

MEETING THE CHALLENGE: THE EARLY READING FIRST PROGRAM

The Early Reading First Program brings a unique and bold approach to improving preschool programs for our Nation's at-risk children, including children with disabilities and limited English proficiency. Early Reading First provides funding and support to turn preschool programs into centers of excellence by improving instruction and classroom environments through scientific research-based practices in language, cognition and early reading. Many of America's children face daunting challenges as they enter kindergarten lacking the necessary skills to learn how to read. Early Reading First offers an exciting opportunity to be part of the President's early childhood initiative, "Good Start, Grow Smart," and begin to meet this challenge by helping to ensure that children are provided with high-quality preschool education.

Specifically, Early Reading First grants will provide funds to:

- support local efforts to enhance the early language, cognitive, and early reading development of preschool-age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research;
- provide preschool-age children with cognitive learning opportunities in high-quality language and print-rich environments so that they can attain the fundamental knowledge and skills necessary for optimal reading development in kindergarten and beyond;
- use language and literacy activities based on scientifically based reading research to support the age-appropriate development of:
 - oral language (vocabulary development, expressive language, and listening comprehension)
 - phonological awareness (rhyming, blending, segmenting)
 - print awareness
 - alphabet knowledge (letter recognition);
- use screening assessments or other appropriate measures to identify preschool-age children who may be at risk for reading failure, and to determine whether those children are developing the language, cognitive, and early reading skills they need for later reading success; and
- integrate instructional materials and programs based on scientifically based reading research into existing preschool programs.

PROGRAM OVERVIEW

The ultimate goal of the Early Reading First Program is to improve the school readiness of our Nation's young children, especially those from low-income families, by providing support for early childhood education programs serving preschool-age children so they may become centers of educational excellence. This goal supports the goal of the President's early childhood initiative, "Good Start, Grow Smart," to improve early childhood education and strengthen early learning for young children.

Through multi-year awards to highly committed eligible local educational agencies (LEAs) with at-risk children, and public and private organizations located in communities served by those eligible LEAs, the Early Reading First Program is intended to ensure that preschool-age children have the instruction, experiences, and environment that they need to enter kindergarten prepared for continued learning.

What Projects Must Do

All Early Reading First projects must provide the following activities: —

1. **Classroom environment** — Provide preschool-age children with **high-quality oral language and print-rich environments** in which to acquire oral language skills, phonological awareness, print awareness, and alphabet knowledge. Applicants must serve primarily children from low-income families, including meeting the diverse needs of children who are limited English proficient or have special needs, with accommodations as appropriate for children with disabilities.
2. **Professional development** — Provide **professional development** for staff that is based on scientifically based reading research knowledge of language, cognitive, and early reading development that will assist in developing the preschool-age children's—
 - oral language (expressive and receptive language, including vocabulary development);
 - phonological awareness (rhyming, blending, segmenting);
 - print awareness; and
 - alphabet knowledge (letter recognition).
3. **Services and instructional materials**— Identify and **provide activities and instructional materials** that are based on scientifically based reading research for use in developing language, cognitive, and early reading skills.
4. **Screening assessments** — Acquire, provide training in the use of, and implement **screening reading assessments** or other appropriate measures that are based on scientifically based reading research to determine whether preschool-age children are

developing the language, cognitive, and early reading skills they need for later reading success.

5. **Integration** — Integrate those instructional materials, activities, tools, and measures into the applicant's overall program(s).

You can find more information about these activities, and research-based approaches and strategies for them, in the Early Reading First Program guidance, Question B-2.



The Early Reading First Program Guidance is available on the Department's website at: <http://www.ed.gov/offices/OESE/earlyreading/index.html>.



Early Reading First projects also must do the following:

6. **Coordinate with Reading First** — If they are located in a school district that receives a subgrant under the Reading First program, coordinate their Early Reading First activities with the school district's Reading First activities to ensure continuity for children between the pre-kindergarten program and kindergarten through grade 3 reading instruction.
7. **Report Annually** — Submit to the Department annual performance reports that describe, at a minimum:
 - the research-based instruction, materials, and activities being used in the preschool programs supported with Early Reading First funds;
 - the types of preschool programs supported with Early Reading First funds, and the number and ages of children served by those programs;
 - the number and qualifications of the program staff who provide language, cognitive, and early reading instruction under those preschool programs and the type of ongoing professional development provided to that staff; and
 - the results of the grantee's evaluation of the success of the activities supported with Early Reading First funds in enhancing the language, cognitive, and early reading development of the preschool-age children served by the project.
8. **Cooperate with any Evaluation** — Participate fully in any evaluation of the Early Reading First program carried out by the Department.



The Secretary encourages applicants to propose comprehensive approaches in designing their Early Reading First programs to ensure that preschool-age children will possess the reading readiness skills they will need in school. For example, research shows that the following

activities are important ingredients in young children's acquisition and retention of language, cognitive, and early reading skills:

- **Parent engagement** — Provide parent training and other services supporting parents' engagement in their children's preschool education. For more information about engaging parents in their children's language, cognitive, and early reading development, and providing educational training in those parenting skills, see the Early Reading First guidance, Question E-4.
- **Continuity with kindergarten and elementary programs** — Have a plan for facilitating preschool-age children's transition to elementary school, to ensure that the children continue the learning gains they have made in the preschool program and that the preschool program is aligned with elementary school State academic standards. For more information about helping sustain the learning gains of preschool-age children when they enter elementary school, see the Early Reading First guidance, Question E-5.
- **Intensity of services** — Studies also show that there is a relationship between the intensity of services provided to children and the outcomes they demonstrate. Think about how to increase the *intensity* of those preschool education services that focus on language and cognitive development, in addition to increasing the quality of the instruction, early learning environment, and professional development.

Who May Apply

All LEAs and public and private organizations (including faith-based organizations) located in those LEAs that were eligible to apply for Early Reading First funds for fiscal year (FY) 2002 are eligible to apply for FY 2003. In addition, LEAs, and public and private organizations within those LEAs, designated by States in their approved Reading First applications are also eligible, as outlined in the Federal Register notice in Section C of this application package.

Specifically, the following LEAs and public and private organizations and agencies may apply for an Early Reading First Program grant for the FY 2003 Early Reading First Program competition:

1. One or more LEAs that are eligible under Reading First criteria, as designated for the purposes of the FY 2003 Early Reading First grant competition on the list of eligible LEAs on the Department's Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>.
2. One or more public or private organizations or agencies (including faith based organizations) located in a community served by one of those eligible LEAs on the FY 2003 list. Unless the public or private organization is a preschool program applying on its own behalf, it must apply on behalf of one or more programs that serve preschool-age

children (such as a Head Start program, a child care program, a family literacy program such as Even Start, or a lab school at a university).

3. One or more of the eligible LEAs, applying in collaboration with one or more of the eligible organizations or agencies.

The list of eligible LEAs for the purposes of the FY 2003 Early Reading First grant competition is based upon Reading First statutory criteria and was compiled in compliance with the *Federal Register Notice Inviting Local Applications for New Awards for Fiscal Year (FY)* in Section C of this application package. For more information about eligibility, see the Early Reading First Program guidance, Part D.

How The Application Process Will Work

General Award Information: Early Reading First is a national competitive grant program that is directly administered by the U.S. Department of Education (ED). ED will award grants based on the quality of the applications and regulatory criteria in section 75.217 of the Education Department General Administrative Regulations (EDGAR). In making awards, the Department may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation. The Congress has appropriated approximately \$75,000,000 for Early Reading First Program grants for FY 2003. Awards are expected to be made in September 2003. The Department expects to award between 17 and 250 grants, ranging in size from \$300,000 - \$1,500,000 per year, or \$900,000 - \$4,500,000 for up to a 3-year period.

The Secretary is particularly interested in Early Reading First proposals that will be operated by a partnership that includes the following entities at a minimum: (1) an SEA or a local educational agency (LEA), or both; and (2) a preschool that is not under the administrative control of an LEA. A preschool is considered to be under the administrative control of an LEA for this purpose if the LEA is the fiscal agent, operates, supervises, controls, or manages the preschool. A preschool that is located in a school or LEA building is not necessarily under the administrative control of an LEA. This invitational priority will help ensure that the preschool programs supported with Early Reading First funds are closely coordinated and aligned with the State's kindergarten through grade 12 (K – 12) educational system and goals, and will give State and local support to preschools that are not formally a part of the State's K - 12 public education system.

The Secretary is also particularly interested in Early Reading First projects that will serve a significant number of children with special needs, including those with disabilities and those with limited English proficiency. These programs would, through appropriate accommodations, provide those children with access to the same high quality environments and early reading curricula and activities based on scientifically based reading research, to support the age appropriate development of oral language, phonological awareness, print awareness and alphabet

knowledge. Applications that meet one or both of these invitational priorities do not receive any absolute or competitive preference.

Application Process. The grant competition will include a pre-application and full application. All applicants will submit a Pre-Application that includes the following—

- A brief description (up to 2 double-spaced pages) of the existing early childhood education program(s) serving preschool-age children (preschool programs) that they propose to support with Early Reading First funds; and
- Up to 10 additional double-spaced pages addressing the following four key concepts related to their proposed project
 - a statement of their vision;
 - a discussion of the key scientifically based research in language, cognitive, and early reading development on which their program will be based, and how their project design is tied to that research;
 - a discussion of the proposed activities that prepare young children to meet their State's preschool content standards (if any exist), and the State's content standards for reading or language arts for the lowest grade for which the State has those standards; and
 - a description of an on-going evaluation process that the applicant would use to measure success.

The specific requirements for the pre-application, the selection criteria for the pre-application, and the two pre-application competitive priorities, are described later in this application package under the “Pre-Application” section. The Department, through a peer review panel of experts convened under section 1203(c)(2) of the ESEA in accordance with section 1222(c) of the ESEA, will evaluate each pre-application on the pre-application selection criteria and will determine whether each pre-application qualifies for additional points under two pre-application competitive priorities included in this notice. In determining which applicants to invite to submit full applications, the Department will consider the rank order of applications as determined by the total score of the pre-application based on the selection criteria and the awarding of competitive priority points, if any.

The specific requirements and process for the full application are described later in this application package under the “Full Application” section. The Department, through a peer review panel of experts convened under section 1203(c)(2) of the ESEA in accordance with section 1222(c) of the ESEA, will evaluate each full application on the full application selection criteria and will determine whether each full application qualifies for additional points under the full application competitive priority included in this notice. The Department will select applicants for funding based on the quality of the full applications including their rank order as determined by the total score of the full application based on the selection criteria and the awarding of competitive priority points, if any. In making funding decisions, the Department will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217. When making awards, the Department may take into consideration other information that is relevant to obtaining a variety

of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program. The Department anticipates making final awards in September 2003.

Section C:

FEDERAL REGISTER NOTICE
AND PROGRAM AUTHORIZATION

4000-01-U

DEPARTMENT OF EDUCATION

(CFDA No.: 84.359A (Pre-Application) and 84.359B (Full Application))

Early Reading First Program

Notice inviting local applications for new awards for fiscal year (FY) 2003.

SUMMARY: The Secretary invites applications for new grant awards for FY 2003 for the Early Reading First Program. These grants are authorized by subpart 2, part B, title I, of the Elementary and Secondary Education Act (ESEA), as amended by the No Child Left Behind Act, Public Law 107-110. The Secretary also announces final eligibility, procedures, requirements, priorities, and selection criteria for this competition.

PURPOSE OF PROGRAM

The purpose of the Early Reading First Program is to create preschool centers of excellence by improving the instruction and classroom environment of early childhood programs that are located in urban or rural high-poverty communities and that serve primarily children from low-income families. These programs will provide preschool-age children, including children with disabilities and children with limited English proficiency, with high-quality environments and early reading curricula and activities, based on scientifically based reading research, to support the age-appropriate development of: oral language, phonological awareness, print awareness, and alphabet knowledge. These activities (with tactile and communication accommodations for children with disabilities, as appropriate), in combination with professional development based on scientific research and with screening assessments, will form a seamlessly integrated instructional program that will further children's development of language, cognitive, and early reading skills and prevent them from encountering reading difficulties when they enter school.

APPLICATIONS AVAILABLE: March 17, 2003.

DEADLINE FOR TRANSMITTAL OF APPLICATIONS: Pre-Application: April 11, 2003. Full Application (for invited applicants only): June 27, 2003 (which is approximately 6 weeks after the date applicants will be invited to submit Full Applications).

DEADLINE FOR INTERGOVERNMENTAL REVIEW: August 26, 2003.

ESTIMATED AVAILABLE FUNDS: \$75,000,000

ESTIMATED RANGE OF AWARDS: \$300,000 - \$1,500,000 per year; \$900,000 - \$4,500,000 for a 3-year period.

ESTIMATED NUMBER OF AWARDS: 17 - 250.

NOTE: The Department is not bound by any estimates in this notice.

PROJECT PERIOD: Up to three years.

SUPPLEMENTARY INFORMATION:

Background

The Early Reading First Program is part of the President's early childhood initiative, "Good Start, Grow Smart." As part of that initiative, these grants will strengthen early learning environments and instruction for young children. They also will help ensure that preschool programs are more closely coordinated with State educational goals, so that there is continuity with formal school instruction and so that what children are doing before they enter school is aligned with what is expected of them once they are in school.

Early Reading First grants will use research-based strategies to generate information about effective practices in providing younger children with the essential language, literacy, and cognitive experiences that will best prepare them for later school success. The Department plans to disseminate information about Early Reading First projects that prove to be effective.

Specifically, Early Reading First projects provide the following activities, with accommodations as needed for children with disabilities: high-quality oral language and print-rich environments; professional development for staff based on scientifically based reading research knowledge of language, cognitive, and early reading development that will assist in developing preschool-age children's oral language, phonological awareness, print awareness, and alphabet knowledge; activities and instructional materials based on scientifically based reading research for use in developing language, cognitive, and early reading skills; acquisition, training, and implementation of screening reading assessments; and integration of the instructional materials, activities, tools, and measures into the applicant's overall programs.

Eligible Applicants

(1) One or more LEAs identified as being eligible on the list of "Eligible LEAs" that will be posted on the Department's Web site at <http://www.ed.gov/offices/OESE/earlyreading/index.html> by the date that applications are available;

(2) one or more public or private organizations or agencies (including faith-based organizations) located in a community served by one of those LEAs, which organization or agency is acting on behalf of one or more programs

(which may include themselves) that serve young children, such as a Head Start program, a child care program, an Even Start program; or

(3) one or more of the eligible LEAs, applying in collaboration with one or more of the eligible organizations or agencies. In addition to obtaining the list of "Eligible LEAs" from the Department's web site, the public may obtain that list on or after the date that applications are available by contacting the individual identified under FOR FURTHER INFORMATION CONTACT.

Applicability of Regulations

The following provisions of the Education Department General Administrative Regulations (EDGAR) contained in Title 34 of the Code of Federal Regulations (CFR) apply to these Early Reading First Program grants: 34 CFR parts 74, 75, 77, 79, 80, 81, 82, 85, 86, 97, 98, and 99.

FY 2003 ELIGIBILITY:

Background

The Early Reading First statute ties grant applicant eligibility to basic LEA eligibility for Reading First State Grants subgrants. Specifically, to meet the basic eligibility criteria under the Reading First State Grants Program (and, thus, the Early Reading First Program), each eligible LEA must:

- Be among the LEAs in the State with the highest numbers or percentages of students in kindergarten through grade 3 reading below grade level, based on the most currently available data (and a State may use the lowest grade for which it has those data, such as grade 4, up through grade 5);

and also qualify under one of the following categories as an LEA that:

- Has jurisdiction over a geographic area that includes an area designated as an empowerment zone (EZ) or an enterprise community (EC).
- Has jurisdiction over a significant number or percentage of schools that are identified for school improvement under section 1116(b) of title I of the ESEA (or the predecessor statutory authority).
- Has the highest numbers or percentages of children in the State who are counted under section 1124(c) of title I of the ESEA (the number of children counted for Title I Basic Grants to LEAs).

At the time of the FY 2002 Early Reading First grant competition, no State had yet obtained approval of its Reading First plan. Therefore, for Early Reading First eligibility for FY 2002, the Department allowed States to submit lists of eligible LEAs using the above Reading First

criteria. In the absence of those lists, the Department used Title I Basic Grant allocation child count data for FY 2001 (see Federal Register notice, 67 FR 17594 (April 10, 2002)).

FY 2003 Eligibility Lists

The Department will use the same eligibility lists for the FY 2003 Early Reading First competition that it used for the FY 2002 competition, supplemented as explained in this section under "Supplemental Data." Therefore, all LEAs, and organizations and agencies located in those LEAs, that were eligible for FY 2002 will also be eligible for the FY 2003 Early Reading First competition.

Supplemental Data - States That Have Approved Reading First Plans by February 28, 2003: A number of States now have approved Reading First plans. For States that received approval of their Reading First plans on or before February 28, 2003, the Department will supplement the FY 2002 Early Reading First eligible LEA list with any LEAs that are eligible under those approved Reading First plans but that were not included on the FY 2002 Early Reading First eligible LEA list.

WAIVER OF PROPOSED RULEMAKING: It is the Secretary's practice, in accordance with the Administrative Procedure Act (5 U.S.C. 553), to offer interested parties the opportunity to comment on proposed rules that are not taken directly from statute. Ordinarily, this practice would have applied to the priorities and requirements in this notice. Section 437(d)(2) of the General Education Provisions Act (GEPA), however, exempts from this requirement rules that would cause extreme hardship to the intended beneficiaries of the program that would be affected by those regulations. The Secretary has determined that extreme hardship would be caused in this case because: a two-stage competition is necessary in order to obtain the highest-quality applications for these grants because of the complex nature of the program, the variety of potential applicants, and the expected large number of applications; funding is available only until September 30, 2003; and there is insufficient time to publish the competition rules for notice and comment and conduct a two-stage competition before that date. The Secretary, in accordance with section 437(d)(2) of GEPA, has decided to forgo public comment with respect to the rules in this grant competition in order to ensure timely and high-quality awards. These rules will apply only to the FY 2003 grant competition.

APPLICATION PROCESS: The FY 2003 Early Reading First grant competition will be conducted through a Pre-Application and Full Application process. All applicants must submit a

Pre-Application, which must include a brief description of the context of the existing preschool program(s) to be supported and improved with Early Reading First funds, and then a short narrative that addresses four key concepts related to the proposed project that are described under PRE-APPLICATION SELECTION CRITERIA. The Pre-Application is limited to: 2 double-spaced pages for describing the context, and 10 double-spaced pages to address the selection criteria, with a limited appendix and formatting requirements that are described in the application package.

The Secretary, through a peer review panel of experts convened under section 1203(c)(2) of the ESEA in accordance with section 1222(c) of the ESEA, will evaluate each Pre-Application based on the Pre-Application selection criteria and will determine whether each Pre-Application qualifies for additional points under two Pre-Application competitive priorities included in this notice. In determining which applicants to invite to submit Full Applications, the Secretary will consider the rank order of applications, as determined by the total score of the Pre-Application based on the selection criteria and the awarding of competitive priority points, if any.

The Full Application must include a brief program context description, a narrative addressing the Full Application selection criteria (different than the Pre-Application selection criteria), a budget, and a budget narrative. The Secretary, through a separate peer review panel of experts also convened under section 1203(c)(2) of the ESEA in accordance with section 1222(c) of the ESEA, will evaluate each Full Application based on the Full Application selection criteria and will determine whether each Full Application qualifies for additional points under the Full Application competitive priority included in this notice. The Full Application is limited to: 2 double-spaced pages for the context description, 35 double-spaced pages for the narrative, and 5 double-spaced pages for the budget narrative, with formatting requirements and limited appendices that are described in the application package. The Secretary will select applicants for funding based on the quality of the Full Applications including their rank order as determined by the total score of the Full Application based on the selection criteria and the awarding of competitive priority points, if any. In making funding decisions, the Department will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217. When making awards, the Secretary may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of

awards throughout the Nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program. The Department anticipates making final awards in September 2003.

PRIORITIES

INVITATIONAL PRIORITIES

The Secretary is particularly interested in Early Reading First proposals that will be operated by a partnership that includes at a minimum, the following entities: (1) an SEA or a local educational agency (LEA), or both; and (2) a preschool that is not under the administrative control of an LEA. A preschool is considered to be under the administrative control of an LEA for this purpose if the LEA is the fiscal agent or operates, supervises, controls, or manages the preschool. A preschool that is located in a school or LEA building is not necessarily under the administrative control of an LEA. This invitational priority will help ensure that the preschool programs supported with Early Reading First funds are closely coordinated and aligned with the State's kindergarten through grade 12 (K - 12) educational system and goals and will give State and local support to preschools that are not formally a part of the State's K - 12 public education system. However, applications that meet this invitational priority do not receive any absolute or competitive preference over applications that do not meet the priority.

The Secretary also is particularly interested in Early Reading First projects that will serve a significant number of children with special needs, including those with disabilities and those with limited English proficiency. These programs would provide those children access, through appropriate accommodations, to the same high-quality environments and early reading curricula and activities based on scientifically based reading research as would be provided to children without special needs, to support their age-appropriate development of oral language, phonological awareness, print awareness, and alphabet knowledge. Applications that meet this invitational priority do not receive any absolute or competitive preference over other applications.

PRE-APPLICATION PRIORITIES

Pre-Application Competitive Priorities

Under 34 CFR 75.105(c)(2), the Secretary gives two separate competitive preferences to Pre-Applications as follows:

Pre-Application Competitive Priority 1 - Children from Low-Income Families

To meet Pre-Application competitive priority 1, each preschool center to be supported by the proposed Early Reading First project must have at least 75 percent of the children enrolled in the preschool center qualify to receive free or reduced price lunches; or at least 75 percent of the children enrolled in the elementary school, in the school attendance area in which that center is located qualify to receive free or reduced price lunches. In addition, each of those preschool centers must be located in a community served by an "eligible LEA," or primarily serve children who will attend kindergarten in an "eligible LEA." ("Eligible LEAs" for the purpose of this competitive priority are those LEAs that are listed as "eligible LEAs" for this FY 2003 grant competition on the Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>.)

An application that meets this first Pre-Application competitive priority would receive 10 points in the Pre-Application portion of this grant competition. To receive these points, an applicant that qualifies must complete and submit Pre-Application Form B, included in the application package. These points are in addition to any points the applicant earns under the Pre-Application selection criteria or the other Pre-Application competitive priority.

This competitive priority is designed to ensure that Early Reading First funds are used to support local efforts to enhance the early language, literacy, and prereading development, primarily of preschool children who are from low-income families.

Pre-Application Competitive Priority 2 – Novice Applicant

To meet Pre-Application competitive priority 2, the applicant must be a novice applicant (or a group of novice applicants) under 34 CFR 75.225 that is otherwise eligible to apply under this competition, and must check the appropriate box on ED Form 424 (Application for Federal Assistance), Question 6. A "novice applicant" under 34 CFR 75.225 means the following for this Pre-Application competitive priority: an applicant that has not had an active discretionary grant from the Federal Government in the five years before the deadline date for the Pre-Application in this grant competition. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds. In the case of applications from more than one eligible applicant (that is, a group application), every eligible applicant must be a novice applicant to meet this Pre-Application competitive priority.

This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding. An application that meets this second Pre-Application competitive priority would receive 5 points in the competition. These points are in addition to any points the applicant earns under the Pre-Application selection criteria or the other Pre-Application competitive priority.

FULL APPLICATION PRIORITY

Under 34 CFR 75.225, the Secretary gives a competitive priority to Full Applications as follows:

Full Application Competitive Priority–Novice Applicant

To meet the Full Application competitive priority, the applicant must be a novice applicant (or a group of novice applicants) under 34 CFR 75.225 that is otherwise eligible to apply under this competition, and must check the appropriate box on ED Form 424 (Application for Federal Assistance), Question 6. A “novice applicant” under 34 CFR 75.225 means the following for this Full Application competitive priority: an applicant that has not had an active discretionary grant from the Federal Government in the five years before the deadline date for a Full Application under this grant competition. For the purposes of this requirement, a grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds. In the case of applications from more than one eligible applicant (that is, a group application), every eligible applicant must be a novice applicant to meet this Full Application competitive priority.

This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding. An application that meets this Full Application competitive priority would receive 5 points in the competition. These points are in addition to any points the applicant earns under the selection criteria.

PRE-APPLICATION SELECTION CRITERIA

The Secretary will use the following selection criteria in accordance with 34 CFR 75.200(b)(2) and 75.209 to evaluate Pre-Applications under this grant competition. The maximum score for all of these selection criteria is 100 points. The maximum score for each criterion is indicated in parenthesis with the criterion.

Each applicant must first use up to two (2) double-spaced pages of its Pre-Application to describe the context

of the existing early childhood education programs serving preschool-age children (preschool programs) that they propose to support with Early Reading First funds. The Secretary recommends that, in the case of center-based programs, applicants generally include no more than a total of 5 centers to ensure that funds are sufficiently concentrated to achieve the program goals. The context description of the current program must include the following information: the ages and number of children being served; demographic and socioeconomic information on those children; information on the type of special needs that any of the children may have; the average hours the children attend the program (hours/day, days/week, and months/year); primary funding source(s) for the program; the basic instructional program; and the number of staff and their qualifications.

The Secretary believes that programs with the capacity and potential to become Early Reading First preschool centers of educational excellence are likely to be preschool programs that currently are stable and effectively attend to the developmental domains traditionally supported by preschool programs, including social, emotional, and physical. The Secretary recommends that applicants demonstrate the current program's capacity in these domains when describing the context of the existing program.

In addition to the 2-page context description, applicants must also include, in the Appendix to the Pre-Application, a list of the names and addresses of the preschool programs that the Early Reading First project will support.

Each applicant must then use no more than a total of 10 additional double-spaced pages to address the following selection criteria. (Pre-Application Competitive Priority 1 - Children from Low-Income Families, and Pre-Application Competitive Priority 2 - Novice Applicant, are addressed by separate forms in the Pre-Application package.)

Selection Criteria

(1) Vision (up to 25 points): Starting from the context of the existing early childhood education program(s) that the Early Reading First project would support, applicants must describe their vision for what those programs would look like if they were to become centers of educational excellence. Applicants must tie their vision to the scientific reading research upon which that vision is based, and state the overall goals for their proposed Early Reading First project based on that vision and research.

In evaluating the response to this first Pre-Application selection criterion, the Secretary will consider the information in the 2-page context description, as well as the information in the 10-page narrative. The Secretary will evaluate the clarity, creativity, comprehensiveness, and feasibility of the overall vision, and the capacity and potential of the project to achieve that vision. The Secretary also will consider how well the goals are tied to the vision, and the extent to which those goals incorporate high expectations, based on scientific research, for improvements in the early learning environment, curricula, teacher instruction, and will enhance children's development of oral language, phonological awareness, print awareness, and alphabet knowledge.

(2) Key Research and Program Design (up to 40 points): Applicants must discuss the key scientifically based research in the areas of language, cognitive, and early reading development for preschool-age children, and include citations to the sources of that research. Applicants must tie their program design to that research, by explaining the research-based strategies they would use, and the changes they would make to the existing program, which will appropriately address the needs of all children in the project, including children with special needs, in each of the following core areas: classroom environment, professional development, curricula and instruction, and on-going screening assessment or other appropriate measures to monitor the children's progress. Applicants must explain any changes that they would make in the amount of time the program spends on developing children's language, cognition, and early reading skills, and how they would engage parents in helping with their children's development in those areas.

In evaluating the response to this second Pre-Application selection criterion, the Secretary will consider the relevance and rigor of the research cited, and how well the program design clearly links the proposed strategies with the major findings of up-to-date scientifically based reading research about best practices in language, cognitive, and early reading development. These best practices may include, for example, how the Early Reading First project will do the following: create high-quality oral language and print-rich environments; use strong, intensive, sustained, and classroom-focused professional development for preschool staff; support the diverse needs of all children's learning through the seamless integration of curricula, materials, and

instructional approaches, including the use of explicit, contextualized, and scaffolded instruction in phonological awareness, oral language skills, print awareness, and alphabet knowledge; and use continuous screening assessments to monitor children's progress.

The Secretary also will consider the clarity and feasibility of the overall program design, including the extent to which, in the case of center-based early education programs for preschool-age children, the number of centers to be supported by Early Reading First is limited enough (generally, to no more than five (5) centers) to achieve the project goals with the amount of funds requested.

(3) Continuity and Coordination with Formal School Instruction (up to 10 points): Applicants must indicate whether or not their State has preschool standards in the cognitive domain, and if it does, briefly describe those standards. Applicants must explain how their proposed Early Reading First project would prepare young children to meet their State's preschool content standards (if any) and their State's reading or language arts content standards for kindergarten or the lowest elementary grade for which the State has those content standards.

In evaluating the response to this third Pre-Application selection criterion, the Secretary will consider how well the Early Reading First strategies and activities would prepare children to meet the State's preschool cognitive standards (if any), and the State's content standards in reading or language arts for the lowest grade for which the State has those standards.

(4) Measuring Success (up to 25 points): Applicants must describe how they will evaluate the success of their Early Reading First activities. Specifically, applicants must explain how they will determine whether the early language, literacy, and pre-reading development of the preschool-age children served by the Early Reading First Program has improved and been enhanced as a result of their Early Reading First strategies and changes. Applicants must describe the key outcomes that they would expect to see in the classroom environment, instructional practice, and children's development of oral language, phonological awareness, print awareness, and alphabet knowledge, how they plan to measure those outcomes, and how they would use the results for continuous program improvement.

In evaluating the response to this fourth Pre-Application selection criterion, the Secretary will consider how well the expected outcomes are linked to the program's goals, and how well the proposed child measures

will demonstrate those outcomes. The Secretary will also consider the validity and rigor of the proposed measures, their appropriateness for the target population, and the degree to which the program will use the results to inform future instruction and program improvement.

FULL APPLICATION SELECTION CRITERIA

The Secretary will use the following selection criteria in accordance with 34 CFR 75.200(b)(2) and 75.209 to evaluate Full Applications under this grant competition. The maximum score for all of the Full Application selection criteria is 100 points. The maximum score for each criterion is indicated in parenthesis with the criterion.

When making funding decisions, the Secretary will consider the rank order of the applications based on the selection criteria and competitive priority. The Secretary will make award determinations under section 75.217 of EDGAR, 34 CFR 75.217, and may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the Nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program.

Each applicant must first use up to two (2) double-spaced pages of its Full Application to describe the context of the existing early childhood education programs serving preschool-age children (preschool programs) that it proposes to support with Early Reading First funds. The peer reviewers will consider the information in the context description of the existing preschool programs, as well as all other information in the Full Application, in evaluating the applicant's responses to the Full Application selection criteria. This description may be the same description that the applicant included in its Pre-Application, or a revised description, and must include the following information: the ages and number of children being served; demographic and socioeconomic information on those children; information on the type of special needs that any of the children may have; the average hours the children attend the program (hours/day, days/week, and months/year); primary funding source(s) for the program; the basic instructional program; and the number of staff and their qualifications.

The Secretary believes that programs with the capacity and potential to become Early Reading First preschool centers of educational excellence are likely to be preschool programs that currently are stable and effectively attend to the developmental domains traditionally supported by preschool programs, including

social, emotional, and physical. The Secretary recommends that applicants demonstrate the program's current capacity in these domains when describing the context of the existing program.

Selection Criteria

(a) Capacity and Significance of Project (up to 15 points).

(1) The Secretary considers the capacity and significance of the proposed project.

(2) In determining the capacity and significance of the proposed project, the Secretary considers the following factors:

(i) The likelihood that the project will become a center of educational excellence for at-risk preschool-age children, as demonstrated by the goals articulated and the program's capacity and potential for achieving those goals.

(ii) The extent to which the project will provide unique research-based benefit to the field of early childhood education, such as through information, materials, and techniques, and the potential for those resources being used effectively in other settings.

(b) Quality of Project Activities and Services (up to 35 points).

(1) The Secretary considers the quality of the proposed project's activities and services.

(2) In determining the quality of the proposed project's activities and services, the Secretary considers the following factors:

(i) The extent to which the applicant presents a detailed plan that explains how the project will provide the following activities and services to support the development of language, cognitive, and early reading skills for preschool-age children; and how the project will incorporate strategies that meet the diverse needs of all of the project's preschool-age children (including those with limited English proficiency, disabilities, and other special needs) into those activities and services:

(A) Providing a rich oral language and print-rich environment and developing preschool-age children's oral language, phonological awareness, print awareness, and alphabet knowledge.

(B) Preparing and providing ongoing assistance to staff, through professional development and other support.

(C) Providing services and using instructional materials and activities, including explicit, contextualized, and scaffolded instruction, and integrating those instructional materials and activities into the

applicant's preschool programs and family literacy services.

(D) Using screening reading assessments or other appropriate measures to determine the skills children are learning and identify children who might be at risk of reading failure.

(E) Helping children, especially those experiencing difficulty with language and early reading skills, to make the transition from preschool to formal classroom instruction.

(F) Involving parents meaningfully in their children's early education.

(ii) The reviewers also will evaluate the extent to which the applicant's detailed plan explains how each of the project's activities and services are based on up-to-date knowledge from scientifically based reading research, with research citations where appropriate.

(c) Quality of Project Personnel (up to 10 points).

(1) The Secretary considers the quality of project personnel.

(2) In determining the quality of project personnel, the Secretary considers the following factors:

(i) The strength of the qualifications, including relevant training and experience, of the project staff.

(ii) The strength of the qualifications, including relevant training and experience, of personnel with whom the project will contract to assist in project activities, including research-based professional development for staff to support children's development of language, cognitive, and early reading skills.

(d) Quality of Management Plan (up to 20 total points).

(1) The Secretary considers the quality of the management plan for the proposed project.

(2) In determining the quality of the management plan, the Secretary considers the feasibility of the proposed project and the likelihood that the project will be able to achieve its expected goals, taking into consideration the strength of any partnership, and using the following factors:

(i) The adequacy of the management plan to achieve the goals of the proposed project on time and within budget, including: clearly defined goals, activities, responsibilities, and a timeline for accomplishing project tasks.

(ii) The extent to which the time commitments of the project director and principal investigator and other key project personnel, including any partnership commitments,

are appropriate and adequate to meet the objectives of the proposed project.

(iii) The extent to which the proposed costs are adequate in relation to the proposed activities, the number of persons to be served, and the anticipated results and benefits.

(e) Quality of the Project Evaluation (up to 20 total points).

(1) The Secretary considers the quality of the proposed project evaluation.

(2) In considering the quality of the proposed project evaluation, the Secretary considers the extent to which the methods of evaluation include the use of objective, valid, and reliable performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data in the following areas:

(i) Improvement in classroom environment.

(ii) Improvement in teacher knowledge and qualifications.

(iii) Improvement in teacher instruction and planning.

(iv) Improvement in outcomes for children's development of oral language, phonological awareness, print awareness, and alphabet knowledge.

PAPERWORK REDUCTION ACT CONSIDERATIONS

The procedures and requirements contained in this notice relate to an application package that the Department has developed for the Early Reading First Program grants. The public may obtain copies of this application package by calling or writing the individual identified below as the Department's contact, or through the Department's web site at:

<http://www.ed.gov/GrantApps/84.359>

or

<http://www.ed.gov/offices/OESE/earlyreading/index.html>

As required by the Paperwork Reduction Act, the Office of Management and Budget has approved the use of this application package under OMB control number 1810-0654, which expires October 31, 2004.

FOR APPLICATIONS CONTACT

Education Publications Center (ED Pubs), P.O. Box 1398, Jessup, MD 20794-1398. Telephone (toll free): 1-877-433-7827. FAX: (301) 470-1244. If you use a telecommunications device for the deaf (TDD), you may call (toll free): 1-877-576-7734.

You may also contact ED Pubs at its Web site:

<http://www.ed.gov/about/ordering.jsp>.

Or you may contact ED Pubs at its e-mail address:
edpubs@inet.ed.gov.

If you request an application from ED Pubs, be sure to identify this competition as follows: CFDA number 84.359(A and B).

The public also may obtain a copy of the application package on the Department's Web site at the following address: <http://www.ed.gov/GrantApps/84.359A>.

FOR FURTHER INFORMATION CONTACT: Mary Anne Lesiak or Jill Stewart, Office of Elementary and Secondary Education, 400 Maryland Avenue SW, Washington, DC 20202-6132. Telephone: (202) 260-4555, or via Internet: erf@ed.gov.

If you use a telecommunications device for the deaf (TDD), you may call the Federal Information Relay Service (FIRS) at 1-800-877-8339. Individuals with disabilities may obtain this document in an alternative format (e.g., Braille, large print, audiotape, or computer diskette) on request to the contact person listed in the preceding paragraph.

Individuals with disabilities may obtain a copy of the application package in an alternative format by contacting that person. However, the Department is not able to reproduce in an alternative format the standard forms included in the application package.

Electronic Access to This Document

You may view this document, as well as all other Department of Education documents published in the Federal Register, in text or Adobe Portable Document Format (PDF) on the Internet at the following site:

<http://www.ed.gov/legislation/fedregister>

To use PDF, you must have Adobe Acrobat Reader, which is available free at this site. If you have questions about using PDF, call the U.S. Government Printing Office (GPO), toll free, at 1-888-293-6498; or in the Washington, DC area at (202) 512-1530.

Note: The official version of this document is the document published in the Federal Register. Free Internet access to the official edition of the Federal Register and the Code of Federal Regulations is available on GPO Access at:

<http://www.access.gpo.gov/nara/index.html>

PROGRAM AUTHORITY: 20 U.S.C. 6371-6376 and Public Law No. 107-110.

Dated:

Eugene W. Hickok
Under Secretary.

AUTHORIZING STATUTORY LANGUAGE

EARLY READING FIRST

SUBPART 2 OF PART B OF TITLE I

OF THE ELEMENTARY AND SECONDARY EDUCATION ACT

SEC. 1221. PURPOSES; DEFINITIONS

(a) **PURPOSES-** The purposes of this subpart are as follows:

(1) To support local efforts to enhance the early language, literacy, and prereading development of preschool-age children, particularly those from low-income families, through strategies and professional development that are based on scientifically based reading research.

(2) To provide preschool-age children with cognitive learning opportunities in high-quality language and literature-rich environments, so that the children can attain the fundamental knowledge and skills necessary for optimal reading development in kindergarten and beyond.

(3) To demonstrate language and literacy activities based on scientifically based reading research that supports the age-appropriate development of —

(A) recognition, leading to automatic recognition, of letters of the alphabet;

(B) knowledge of letter sounds, the blending of sounds, and the use of increasingly complex vocabulary;

(C) an understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;

(D) spoken language, including vocabulary and oral comprehension abilities; and

(E) knowledge of the purposes and conventions of print.

(4) To use screening assessments to effectively identify preschool-age children who may be at risk for reading failure.

(5) To integrate such scientific reading research-based instructional materials and literacy activities with existing programs of preschools, child care agencies and programs, Head Start centers, and family literacy services.

(b) **DEFINITIONS-** For purposes of this subpart:

(1) **ELIGIBLE APPLICANT-** The term eligible applicant' means —

(A) one or more local educational agencies that are eligible to receive a subgrant under subpart 1;

(B) one or more public or private organizations or agencies, acting on behalf of one or more programs that serve preschool-age children (such as a program at a Head Start center, a child care program, or a family literacy program), which organizations or agencies shall be located in a community served by a local educational agency described in subparagraph (A); or

(C) one or more local educational agencies described in subparagraph (A) in collaboration with one or more organizations or agencies described in subparagraph (B).

(2) **SCIENTIFICALLY BASED READING RESEARCH-** The term scientifically based reading research' has the same meaning given to that term in section 1208.

(3) **SCREENING READING ASSESSMENT-** The term screening reading assessment' has the same meaning given to that term in section 1208.

SEC. 1222. LOCAL EARLY READING FIRST GRANTS.

(a) **PROGRAM AUTHORIZED-** From amounts appropriated under section 1002(b)(2), the Secretary shall award grants, on a competitive basis, for periods of not more than 6 years, to

eligible applicants to enable the eligible applicants to carry out the authorized activities described in subsection (d).

(b) APPLICATIONS- An eligible applicant that desires to receive a grant under this section shall submit an application to the Secretary, which shall include a description of —

- (1) the programs to be served by the proposed project, including demographic and socioeconomic information on the preschool-age children enrolled in the programs;
- (2) how the proposed project will enhance the school readiness of preschool-age children in high-quality oral language and literature-rich environments;
- (3) how the proposed project will prepare and provide ongoing assistance to staff in the programs, through professional development and other support, to provide high-quality language, literacy, and prereading activities using scientifically based reading research, for preschool-age children;
- (4) how the proposed project will provide services and use instructional materials that are based on scientifically based reading research on early language acquisition, prereading activities, and the development of spoken vocabulary skills;
- (5) how the proposed project will help staff in the programs to meet more effectively the diverse needs of preschool-age children in the community, including such children with limited English proficiency, disabilities, or other special needs;
- (6) how the proposed project will integrate such instructional materials and literacy activities with existing preschool programs and family literacy services;
- (7) how the proposed project will help children, particularly children experiencing difficulty with spoken language, prereading, and early reading skills, to make the transition from preschool to formal classroom instruction in school;
- (8) if the eligible applicant has received a subgrant under subpart 1, how the activities conducted under this subpart will be coordinated with the eligible applicant's activities under subpart 1 at the kindergarten through grade 3 level;
- (9) how the proposed project will evaluate the success of the activities supported under this subpart in enhancing the early language, literacy, and prereading development of preschool-age children served by the project; and
- (10) such other information as the Secretary may require.

(c) APPROVAL OF LOCAL APPLICATIONS- The Secretary shall select applicants for funding under this subpart based on the quality of the applications and the recommendations of a peer review panel convened under section 1203(c)(2), that includes, at a minimum, three individuals, selected from the entities described in clauses (ii), (iii), and (iv) of section 1203(c)(2)(A), who are experts in early reading development and early childhood development.

(d) AUTHORIZED ACTIVITIES- An eligible applicant that receives a grant under this subpart shall use the funds provided under the grant to carry out the following activities:

- (1) Providing preschool-age children with high-quality oral language and literature-rich environments in which to acquire language and prereading skills.
- (2) Providing professional development that is based on scientifically based reading research knowledge of early language and reading development for the staff of the eligible applicant and that will assist in developing the preschool-age children's —
 - (A) recognition, leading to automatic recognition, of letters of the alphabet, knowledge of letters, sounds, blending of letter sounds, and increasingly complex vocabulary;
 - (B) understanding that written language is composed of phonemes and letters each representing one or more speech sounds that in combination make up syllables, words, and sentences;
 - (C) spoken language, including vocabulary and oral comprehension abilities; and
 - (D) knowledge of the purposes and conventions of print.
- (3) Identifying and providing activities and instructional materials that are based on scientifically based reading research for use in developing the skills and abilities described in paragraph (2).

(4) Acquiring, providing training for, and implementing screening reading assessments or other appropriate measures that are based on scientifically based reading research to determine whether preschool-age children are developing the skills described in this subsection.

(5) Integrating such instructional materials, activities, tools, and measures into the programs offered by the eligible applicant.

(e) AWARD AMOUNTS- The Secretary may establish a maximum award amount, or ranges of award amounts, for grants under this subpart.

SEC. 1223. FEDERAL ADMINISTRATION.

The Secretary shall consult with the Secretary of Health and Human Services to coordinate the activities under this subpart with preschool-age programs administered by the Department of Health and Human Services.

SEC. 1224. INFORMATION DISSEMINATION.

From the funds the National Institute for Literacy receives under section 1202(b)(1)(D), the National Institute for Literacy, in consultation with the Secretary, shall disseminate information regarding projects assisted under this subpart that have proven effective.

SEC. 1225. REPORTING REQUIREMENTS.

Each eligible applicant receiving a grant under this subpart shall report annually to the Secretary regarding the eligible applicant's progress in addressing the purposes of this subpart. Such report shall include, at a minimum, a description of —

(1) the research-based instruction, materials, and activities being used in the programs funded under the grant;

(2) the types of programs funded under the grant and the ages of children served by such programs;

(3) the qualifications of the program staff who provide early literacy instruction under such programs and the type of ongoing professional development provided to such staff; and

(4) the results of the evaluation described in section 1222(b)(9).

SEC. 1226. EVALUATION

(a) IN GENERAL- From the total amount made available under section 1002(b)(2) for the period beginning October 1, 2002, and ending September 30, 2006, the Secretary shall reserve not more than \$3,000,000 to conduct an independent evaluation of the effectiveness of this subpart.

(b) REPORTS-

(1) INTERIM REPORT- Not later than October 1, 2004, the Secretary shall submit an interim report to the Committee on Education and the Workforce of the House of Representatives and the Committee on Health, Education, Labor, and Pensions of the Senate.

(2) FINAL REPORT- Not later than September 30, 2006, the Secretary shall submit a final report to the committees described in paragraph (1).

(c) CONTENTS- The reports submitted under subsection (b) shall include information on the following:

(1) How the grant recipients under this subpart are improving the prereading skills of preschool children.

(2) The effectiveness of the professional development program assisted under this subpart.

(3) How early childhood teachers are being prepared with scientifically based reading research on early reading development.

(4) What activities and instructional practices are most effective.

(5) How prereading instructional materials and literacy activities based on scientifically based reading research are being integrated into preschools, child care agencies and programs, programs carried out under the Head Start Act, and family literacy programs.

(6) Any recommendations on strengthening or modifying this subpart.

OTHER RELEVANT STATUTORY DEFINITIONS

Section 1208. Definitions. (from Reading First, Subpart 1, Part B, Title I, ESEA)

(6) SCIENTIFICALLY BASED READING RESEARCH- The term scientifically based reading research' means research that —

(A) applies rigorous, systematic, and objective procedures to obtain valid knowledge relevant to reading development, reading instruction, and reading difficulties; and

(B) includes research that —

(i) employs systematic, empirical methods that draw on observation or experiment;

(ii) involves rigorous data analyses that are adequate to test the stated hypotheses and justify the general conclusions drawn;

(iii) relies on measurements or observational methods that provide valid data across evaluators and observers and across multiple measurements and observations; and

(iv) has been accepted by a peer-reviewed journal or approved by a panel of independent experts through a comparably rigorous, objective, and scientific review.

* * * * *

(7)(B) SCREENING READING ASSESSMENT- The term screening reading assessment' means an assessment that is —

(i) valid, reliable, and based on scientifically based reading research; and

(ii) a brief procedure designed as a first step in identifying children who may be at high risk for delayed development or academic failure and in need of further diagnosis of their need for special services or additional reading instruction.

* * * * *

Section 9101 Definitions (Title IX General Provisions, ESEA)

34) PROFESSIONAL DEVELOPMENT- The term 'professional development'--

`(A) includes activities that--

`(i) improve and increase teachers' knowledge of the academic subjects the teachers teach, and enable teachers to become highly qualified;

`(ii) are an integral part of broad schoolwide and districtwide educational improvement plans;

`(iii) give teachers, principals, and administrators the knowledge and skills to provide students with the opportunity to meet challenging State academic content standards and student academic achievement standards;

`(iv) improve classroom management skills;

`(v)(I) are high quality, sustained, intensive, and classroom-focused in order to have a positive and lasting impact on

classroom instruction and the teacher's performance in the classroom; and

`(II) are not 1-day or short-term workshops or conferences;

`(vi) support the recruiting, hiring, and training of highly qualified teachers, including teachers who became highly qualified through State and local alternative routes to certification;

`(vii) advance teacher understanding of effective instructional strategies that are--

`(I) based on scientifically based research (except that this subclause shall not apply to activities carried out under part D of title II); and

`(II) strategies for improving student academic achievement or substantially increasing the knowledge and teaching skills of teachers; and

`(viii) are aligned with and directly related to--

`(I) State academic content standards, student academic achievement standards, and assessments; and

`(II) the curricula and programs tied to the standards described in subclause (I) except that this subclause shall not apply to activities described in clauses (ii) and (iii) of section 2123(3)(B);

`(ix) are developed with extensive participation of teachers, principals, parents, and administrators of schools to be served under this Act;

`(x) are designed to give teachers of limited English proficient children, and other teachers and instructional staff, the knowledge and skills to provide instruction and appropriate language and academic support services to those children, including the appropriate use of curricula and assessments;

`(xi) to the extent appropriate, provide training for teachers and principals in the use of technology so that technology and technology applications are effectively used in the classroom to improve teaching and learning in the curricula and core academic subjects in which the teachers teach;

`(xii) as a whole, are regularly evaluated for their impact on increased teacher effectiveness and improved student academic achievement, with the findings of the evaluations used to improve the quality of professional development;

`(xiii) provide instruction in methods of teaching children with special needs;

`(xiv) include instruction in the use of data and assessments to inform and instruct classroom practice; and

`(xv) include instruction in ways that teachers, principals, pupil services personnel, and school administrators may work more effectively with parents; and

`(B) may include activities that--

`(i) involve the forming of partnerships with institutions of higher education to establish school-based teacher training programs that provide prospective teachers and beginning teachers with an opportunity to work under the guidance of experienced teachers and college faculty;

`(ii) create programs to enable paraprofessionals (assisting teachers employed by a local educational agency receiving assistance under part A of title I) to obtain the education necessary for those paraprofessionals to become certified and licensed teachers; and

(iii) provide follow-up training to teachers who have participated in activities described in subparagraph (A) or another clause of this subparagraph that are designed to ensure that the knowledge and skills learned by the teachers are implemented in the classroom.

Section D:

EARLY READING FIRST PROGRAM **PRE-APPLICATION – PHASE 1**

CFDA No. 84.359A

The Pre-Application Process

Pre-Application Deadline

Pre-Application Procedures and Instructions

Pre-Application Selection Criteria and Competitive Priorities

Pre-Application Selection Criteria

Pre-Application Competitive Priority 1 (Children from Low-Income Families)

Pre-Application Competitive Priority 2 (Novice Applicant)

Pre-Application Forms

ED Form 424 (Application For Federal Assistance — CFDA # 84.359A) (required for all applicants)

Pre-Application Form A - Applicant Eligibility (required for all applicants)

Pre-Application Form B – Competitive Priority 1 (Children from Low Income Families) (if applicable)

Pre-Application Survey for Ensuring Equal Opportunity for Applicants (if applicable)

Pre-Application Final Checklist

THE PRE-APPLICATION PROCESS

To encourage development of strong proposals that will enhance preschool programs as centers of excellence and cognitive development for at-risk children, and to give applicants sufficient time to prepare competitive proposals for Early Reading First Program funding, the Department will use an initial pre-application process to determine which applicants will be considered for invitations to submit Early Reading First full applications for FY 2003. This initial phase is intended to allow potential applicants the opportunity to focus on what they want to achieve, how they will use scientifically based research in language, cognitive, and early reading development to change the early learning environment, professional development, curricula, instruction, and assessment, how they will promote continuity in instruction between the preschool program and elementary school, and how they will measure success.

PRE-APPLICATION DEADLINE

The deadline for postmark or hand delivery of Early Reading First Program Pre-Applications is April 11, 2003. The Department will strictly observe this closing date. Any hand delivered application must be received by the Department's Application Control Center on or before 4:30 p.m., Washington, DC time, on April 11, 2003. Any application postmarked after this deadline will not be read.

PRE-APPLICATION PROCEDURES AND INSTRUCTIONS

Applicants must submit one signed original and at least two complete copies of their pre-application, including: an Abstract, the equivalent of 1 double-spaced page; a Description of the Context, the equivalent of 2 double spaced pages; a Pre-Application Narrative, the equivalent of no more than an additional 10 double-spaced pages addressing the pre-application selection criteria; and the materials indicated in the Pre-Application Final Checklist located on page D-35. Although not required, it will facilitate the pre-application review process if applicants include two additional copies of their pre-application, for a total of one original and four copies.

Abstract

Applicants must submit a one-page, double-spaced Abstract, briefly describing their proposed project. Do not number this page. Place the name of the applicant at the top of the page.

Description of Context

Each applicant must first use up to two (2) double-spaced pages of its pre-application to describe the context of the existing early childhood education programs serving preschool-age children (preschool programs) that they propose to support with Early Reading First funds. Do not number these pages. Place the name of the applicant at the top of each page

In addition to the 2-page context description, applicants must also include, in the Appendices to the pre-application, a list of the names and addresses of the preschool programs that the Early Reading First project will support.

Pre-Application Narrative

Peer reviewers will evaluate each pre-application on how well it responds to the pre-application selection criteria listed below. The maximum number of points that an application may receive on the pre-application selection criteria is 100. The 10-page application narrative should respond to the pre-application selection criteria in the order in which they are listed.

In addition, each pre-application will be evaluated on the 2 pre-application competitive priorities explained below. The maximum number of points that an application may receive on these competitive priorities is: 10 for Competitive Priority 1 (Children from Low-Income Families), and 5 for Competitive Priority 2 (Novice Applicants).

Place the name of the applicant and the page number at the top of each page of the Pre-Application Narrative.

Competitive Priorities

Applicants that meet Pre-Application Competitive Priority 1 – Children From Low-Income Families receive 10 points in the pre-application portion of this grant competition. To obtain these points, an applicant that qualifies must complete and submit Pre-Application Form B, included in the application package. These points are in addition to any points the applicant earns under the pre-application selection criteria or any other pre-application competitive priority.

In addition, applicants that meet Pre-Application Competitive Priority 2 – Novice Applicants will receive 5 points in the pre-application portion of this grant competition. To obtain these points, an applicant that qualifies as a novice applicant must check “Yes” in response to Question 6 on the Application for Federal Assistance Form (ED Form 424) that it files with its pre-application. This form is included in this application package

Page and Formatting Standards

- A page is 8.5”, on one side only, with 1” margins at the top, bottom, and both sides. The name of the applicant and the page number should be placed in the header of the document.
- Double space (no more than three lines per vertical inch) all text, including titles, headings, quotations, references, and captions.
- Use a font that is either 12 point or larger or no smaller than 10 pitch (characters per inch).
- Tables, charts, or graphs may use less than 12 point font or 10 pitch and may be single spaced, but should be legible.

NOTE: Do not include any enclosures or appendices other than those listed on the “Pre-Application Final Checklist,” on page D-35. The Department will instruct peer reviewers to base their evaluations and scoring only on the information contained in up to 2 pages of the Description of Context, up to 10 pages of the Pre-Application Narrative and the other limited materials listed in the Pre-Application Final Checklist. Any other materials, including non-print materials such as videotapes or CDs, will not be considered.

Reviewers will not evaluate any of the specified sections of your application that exceed the page limit if you apply the above standards or that exceed the equivalent of the page limit if you apply other standards.

Please submit the signed original pre-application in a format that will ensure that the application stays intact (such as staples or binder clips), and that no pages are lost during our handling and review processes (for example, do not use rubber bands or paper clips). Although not required, it will facilitate the pre-application review process if applicants include two additional copies for a total of one original and four copies of their pre-application. Please do not submit your application bound or in a three-ring binder.

Appendices

Include a list of the names and address(es) of the preschool program(s) that the proposed Early Reading First project would support.

Include numbered endnote citations for research cited specifically in the Pre-Application Narrative. A specific citation style is not required, however, each reference should include at a minimum the author(s), the title of the book, or journal and article, and the date of publication. Do not include a general reference bibliography.

Your Pre-Application Appendices may not include any other enclosures.

Instructions for Transmitting Applications

If you want to apply for a grant and be considered for funding, you must meet one of the following deadline requirements:

(a) If You Send Your Pre-Application by Mail

You must mail the original and at least two copies of your pre-application so that they are postmarked on or before April 11, 2003, to:

U.S. Department of Education
Application Control Center — Room 3671
Early Reading First Program Grants (Pre-Application)
Attention: CFDA No. 84.359A
7th and D Streets, SW
Room 3633
Regional Office Building 3
Washington, DC 20202-4725
Telephone: (202) 708-9493

You must show one of the following as proof of mailing:

- (1) A legibly dated U. S. Postal Service Postmark.
- (2) A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
- (3) A dated shipping label, invoice, or receipt from a commercial carrier.
- (4) Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (2) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

Pre-applications postmarked after this deadline will not be read.

SPECIAL NOTE: Due to possible disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier such as Federal Express or United Parcel Service; U.S. Postal Service Express mail; or a courier service) to transmit your pre-application to the Department. If you use an alternative delivery method, please follow the instructions for “Pre-Applications Delivered by Hand.”

(b) If You, or a Courier or Delivery Service, Deliver Your Pre-Applications by Hand

You or your courier must hand deliver the original and at least two copies of the pre-application so that they are received by the Department’s Application Control Center on or before 4:30 p.m., Washington, DC time, on April 11, 2003 at the:

U.S. Department of Education
Application Control Center
Early Reading First Program Grants (Pre-Application)
Attention: CFDA No. 84.359A
7th and D Streets, SW
Room 3633
Regional Office Building 3
Washington, DC 20202-4725.

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street Entrance. A person delivering an application must show identification to enter the building. Hand-delivered pre-applications received after 4:30 p.m. Washington, DC time on the deadline date will not be read.

NOTES:

(1) If you send your application by mail or if you or your courier or delivery service delivers it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. If you do not receive the notification of application receipt within fifteen (15) days from the date of mailing or delivering the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493.

(2) If your application is late, we will notify you that we will not consider the application.

(3) You must indicate on the envelope and—if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number—and suffix letter—of the competition under which you are submitting your application.

EARLY READING FIRST PROGRAM
PRE-APPLICATION
SELECTION CRITERIA AND COMPETITIVE PRIORITIES

Each of the following criteria is critical to the design and implementation of high-quality Early Reading First projects for improving early childhood education programs serving preschool-age children (“preschool programs”). Peer reviewers will rate each pre-application by assigning up to the total number of points indicated below for the responses to each of the selection criteria. Applications will also be evaluated based on two competitive priorities and will be assigned the number of points indicated for meeting those priorities. In determining which applicants to invite to submit full applications, the Department will consider the rank order of those applications based on the pre-application selection criteria and competitive priorities.

To be competitive at the pre-application phase, applicants should propose an approach to creating quality preschool programs that is creative, comprehensive, feasible, and grounded in scientifically based research on effective strategies and professional development in the areas of language, cognitive, and early reading development. This should be evident in the vision of what the applicant intends to achieve, the applicant’s research based program design, the activities proposed to ensure continuity between preschool and the elementary grades and the description of the strategies proposed to measure success and inform continuous improvement.

The Secretary is particularly interested in Early Reading First proposals that will be operated by a partnership that includes the following entities at a minimum: (1) an SEA or a local educational agency (LEA), or both; and (2) a preschool that is not under the administrative control of an LEA. A preschool is considered to be under the administrative control of an LEA for this purpose if the LEA is the fiscal agent, operates, supervises, controls, or manages the preschool. A preschool that is located in a school or LEA building is not necessarily under the administrative control of an LEA. This invitational priority will help ensure that the preschool programs supported with Early Reading First funds are closely coordinated and aligned with the State’s kindergarten through grade 12 (K – 12) educational system and goals and will give State and local support to preschools that are not formally a part of the State’s K - 12 public education system. (These applications do not receive any absolute or competitive priority.)

The Secretary also is particularly interested in Early Reading First projects that will serve a significant number of children with special needs, including those with disabilities and those with limited English proficiency. These programs would, through appropriate accommodations, provide those children with access to the same high quality environments and early reading curricula and activities based on scientifically based reading research, to support the age appropriate development of oral language, phonological awareness, print awareness and alphabet knowledge. (These applications do not receive any competitive or absolute priority.)

Pre-applications with the best chance of being rated highly will show evidence of clear linkages between proposed activities and the major findings of up-to-date scientifically based research and best practices about effective preschool programs in the areas outlined in the selection criteria. The most competitive pre-applications also will demonstrate that the preschool program(s) to be supported by the proposed Early Reading First project primarily serve children from low-income families (Competitive Priority 1). Novice applicants also will receive competitive priority points (Competitive Priority 2).

For further guidance, please also refer to the Early Reading First statute and other relevant statutory definitions that are located in Section C of this application package. Those statutory provisions include the program purposes and required project activities, as well as statutory definitions of key terms such as: scientifically based reading research, screening reading assessment, and professional development. You may also find helpful the non-regulatory guidance, frequently asked questions (FAQs), and resource sampler on the Early Reading First website at: <http://www.ed.gov/offices/OESE/earlyreading/index.html>.

Pre-Application Selection Criteria for Early Reading First Program

Step 1 – DESCRIPTION OF CONTEXT

Use no more than two (2) double-spaced pages to describe the existing preschool program(s) that you propose to support and improve with Early Reading First funds. The Secretary recommends that, in the case of center-based programs, the applicant generally include no more than a total of 5 centers in order to ensure that funds are sufficiently concentrated to achieve the program goals. Include a brief description of each of the following: the ages and number of the children being served; demographic and socioeconomic information on those children; information on the type(s) of special needs that any of the children may have; the average hours the children attend the program (hours/day, days/week, and months/year); primary funding source(s); the basic instructional program; and the number of staff and their qualifications.

The Secretary also believes that programs with the capacity and potential to become Early Reading First preschool centers of educational excellence are likely to be preschool programs that currently are stable and effectively attend to the developmental domains traditionally supported by preschool programs, including social, emotional, and physical. The Secretary recommends that the applicant demonstrate the program's current capacity in these domains when describing the context of the existing program.

Include a list of the names and address(es) of the preschool program(s) that the proposed Early Reading First project would support in the Appendices to your pre-application (see Pre-Application Final Checklist on page D35.)

Step 2 – ADDRESS EACH OF THE FOLLOWING PRE-APPLICATION SELECTION CRITERIA

Use no more than a total of 10 double-spaced pages to address all of the following pre-application selection criteria. Competitive Priority 1 (Children from Low-Income Families) and Competitive Priority 2 (Novice Applicant) are addressed on separate forms.

Vision (up to 25 total points): Starting from the context of the existing early childhood education program(s) that the Early Reading First project would support, applicants must describe their vision for what those programs would look like if they were to become centers of educational excellence. Applicants must tie their vision to the scientific reading research upon which that vision is based, and state the overall goals for their proposed Early Reading First project based on that vision and research.

(Reviewers will consider the information in the 2-page context description, as well as the information in the 10-page narrative. Reviewers will evaluate the clarity, creativity, comprehensiveness, and feasibility of the overall vision, and the capacity and potential of the project to achieve that vision. The reviewers also will consider how well the goals are tied to the vision, and the extent to which those goals incorporate high expectations, based on scientific research, for improvements in the early learning environment, curricula, teacher instruction, and will enhance children's development of oral language, phonological awareness, print awareness, and alphabet knowledge.)

Key Research and Program Design (up to 40 total points): Applicants must discuss the key scientifically based research in the areas of language, cognitive, and early reading development for preschool-age children, and include citations to the sources of that research. Applicants must tie their program design to that research, by explaining the research-based strategies they would use, and the changes they would make to the existing program, which will appropriately address the needs of all children in the project including children with special needs, in each of the following core areas: classroom environment, professional development, curricula and instruction, and on-going screening assessment or other appropriate measures to monitor the children's progress. Applicants must explain any changes that they would make in the amount of time the program spends on developing children's language, cognition, and early reading skills, and how they would engage parents in helping with their children's development in those areas.

(Reviewers will evaluate the relevance and rigor of the research cited, and how well the program design clearly links the proposed strategies with the major findings of up-to-date scientifically based reading research about best practices in language, cognitive, and early reading development. These best practices may include, for example, how the Early Reading First project will do the following: create high-quality oral language and print-rich environments; use strong, intensive, sustained, and classroom-focused professional development for preschool staff; support the diverse needs of all children's learning through the seamless integration of curricula, materials, and instructional approaches, including the use of explicit, contextualized, and scaffolded instruction in phonological awareness, oral language skills, print awareness, and alphabet knowledge; and use continuous screening assessments to monitor children's progress. The reviewers also will consider the clarity and feasibility of the overall program design, including the extent to which, in the case of center-based early education programs for preschool-age children, the number of centers to be supported by Early Reading First is limited enough (generally, to no more than five (5) centers) to achieve the project goals with the amount of funds requested.)

Continuity and Coordination with Formal School Instruction (up to 10 total points): Applicants must indicate whether or not their State has preschool standards in the cognitive domain, and if it does, briefly describe those standards. Applicants must explain how their proposed Early Reading First project would prepare young children to meet their State's preschool content standards (if any) and their State's reading or language arts content standards for kindergarten or the lowest elementary grade for which the State has those content standards.

(Reviewers will evaluate how well the Early Reading First strategies and activities would prepare children to meet the State's preschool cognitive standards (if any), and the State's content standards in reading or language arts for the lowest grade for which the State has those standards.)

Measuring success (up to 25 total points): Applicants must describe how they will evaluate the success of their Early Reading First activities. Specifically, applicants must explain how they will determine whether the early language, literacy, and pre-reading development of the preschool-age children served by the Early Reading First Program has improved and been enhanced as a result of their Early Reading First strategies and changes. Applicants must describe the key outcomes that they would expect to see in the classroom environment, instructional practice, and children's development of oral language, phonological awareness, print awareness, and alphabet knowledge, how they plan to measure those outcomes, and how they would use the results for continuous program improvement.

(Reviewers will evaluate how well the expected outcomes are linked to the program's goals, and how well the proposed child measures will demonstrate those outcomes. The Secretary will also consider the validity and rigor of the proposed measures, their appropriateness for the target population, and the degree to which the program will use the results to inform future instruction and program improvement.)

TOTAL PAGE LIMIT FOR STEP 2: 10 DOUBLE-SPACED PAGES

(The Pre-Application Forms, the Description of the Context (Step 1 of the Pre-Application Narrative), and the limited Appendices are not a part of this total.)

EARLY READING FIRST PROGRAM
PRE-APPLICATION COMPETITIVE PRIORITY 1 -
CHILDREN FROM LOW-INCOME FAMILIES

Early Reading First Pre-Applications that meet the following competitive priority will receive 10 extra points. To obtain points under this pre-application competitive priority, an applicant that qualifies must complete and submit Pre-Application Form B.

- A. Each preschool center to be supported by the proposed Early Reading First project must have:
- at least 75 percent of the children enrolled in the preschool center qualify to receive free or reduced priced lunches
- or
- at least 75 percent of the children enrolled in the elementary school, in the school attendance area in which that center is located, qualify to receive free or reduced price lunches.
- B. Each preschool center that will be supported by the proposed Early Reading First project must be located in a community served by an eligible LEA, or primarily serve children who will attend kindergarten in an eligible LEA. (Eligible LEAs are listed on the Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>).



This competitive priority is designed to ensure that Early Reading First funds are used to support local efforts to enhance the early language, literacy, and pre-reading development primarily of preschool children who are from low-income families.



EARLY READING FIRST PROGRAM
PRE-APPLICATION COMPETITIVE PRIORITY 2
NOVICE APPLICANT

Early Reading First Pre-Applications that meet the following competitive priority will receive 5 extra points. An Early Reading First Program pre-application that is submitted by a *novice applicant* (or a group of novice applicants) under 34 CFR 75.225 that is otherwise eligible to apply under this competition qualifies for this competitive priority. To obtain points under this pre-application competitive priority, an applicant must qualify as a novice applicant as described below, and also must check “Yes” in response to Question 6 on the Application for Federal Assistance Form (ED Form 424) that it files with its pre-application. This form is included in this application package. **If “Yes” is not checked in response to Question 6 on that form, the applicant will not be considered for these priority points.**

A *novice applicant*, for this competition is defined as an applicant that has not had an active discretionary grant from the Federal Government in the five years before the deadline date for submitting the pre-application in this grant competition. For the purposes of this requirement, a grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds.

In order for a group application to qualify as a novice applicant, every eligible applicant in the group must meet the above definition of novice applicant, and one of those novice eligible entities also must be the fiscal agent for the grant.

A partnership may qualify for points under Pre-Application Competitive Priority 2 (Novice Applicant), as long as the entity or entities serving as the eligible applicant (one of which must be the fiscal agent) is a novice applicant.



This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding.



***EARLY READING FIRST PROGRAM
PRE-APPLICATION FORMS***

- (1) ED Form 424, Application for Federal Assistance (CFDA # 84.359A) (required for all applicants) — attached below, and can be downloaded as a Word, Wordperfect, or PDF file from: <http://www.ed.gov/offices/OCFO/grants/appforms.html>
- (2) Pre-Application Form A - Applicant Eligibility (required for all applicants) — attached below, and can be downloaded from this application package, which is available at: <http://www.ed.gov/GrantApps/#84.359> or at <http://www.ed.gov/offices/OESE/earlyreading/index.html>
- (3) Pre-Application Form B – Competitive Priority 1 (Children From Low-Income Families) (if applicable) — attached below, and can be downloaded from this application package, which is available at: <http://www.ed.gov/GrantApps/#84.359> or at <http://www.ed.gov/offices/OESE/earlyreading/index.html>
- (4) Survey on Ensuring Equal Opportunity for Applicants — attached below, and can be downloaded from this application package, which is available at: <http://www.ed.gov/GrantApps/#84.359> or at <http://www.ed.gov/offices/OESE/earlyreading/index.html>

Application for Federal
Education Assistance (ED 424)



U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

Applicant Information Organizational Unit

1. Name and Address

Legal Name: _____

Address: _____

City

State

County

ZIP Code + 4

2. Applicant's D-U-N-S Number |_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|_|

6. Novice Applicant ___ Yes ___ No

3. Applicant's T-I-N |_|_|_| - |_|_|_|_|_|_|_|_|_|_|_|_|

7. Is the applicant delinquent on any Federal debt? ___ Yes ___ No
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: **84.** 3 5 9 A

Title: ___ Early Reading First Program Pre-Application

8. Type of Applicant (Enter appropriate letter in the box.) |_|_|_|

A - State
B - Local
C - Special District
D - Indian Tribe
E - Individual
F - Independent School District
G - Public College or University
H - Private, Non-profit College or University
I - Non-profit Organization
J - Private, Profit-Making Organization

K - Other (Specify): _____

5. Project Director: _____

Address: _____

City _____ State _____ Zip code + 4 _____

Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

Application Information

9. Type of Submission:

-PreApplication *-Application*
___ Construction ___ Construction
___ Non-Construction ___ Non-Construction

10. Is application subject to review by Executive Order 12372 process?

___ Yes (Date made available to the Executive Order 12372 process for review): ___/___/___

___ No (If "No," check appropriate box below.)

___ Program is not covered by E.O. 12372.

___ Program has not been selected by State for review.

12. Are any research activities involving human subjects planned at any time during the proposed project period?
___ Yes (Go to 12a.) ___ No (Go to item 13.)

12a. Are all the research activities proposed designated to be exempt from the regulations?

___ Yes (Provide Exemption(s) #): _____

___ No (Provide Assurance #): _____

13. Descriptive Title of Applicant's Project:

11. Proposed Project Dates: ___/___/___

Start Date:

End Date:

Estimated Funding

14a. Federal \$ _____ .00

b. Applicant \$ _____ .00

c. State \$ _____ .00

d. Local \$ _____ .00

e. Other \$ _____ .00

f. Program Income \$ _____ .00

g. TOTAL \$ _____ .00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: _____

c. Tel. #: () _____ - _____ **Fax #:** () _____ - _____

d. E-Mail Address: _____

e. Signature of Authorized Representative

_____ **Date:** ___/___/___

Instructions for Form ED 424

- 1. Legal Name and Address.** Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.
 - 2. D-U-N-S Number.** Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.
 - 3. Tax Identification Number.** Enter the taxpayer's identification number as assigned by the Internal Revenue Service.
 - 4. Catalog of Federal Domestic Assistance (CFDA) Number.** Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.
- Project Director.** Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.
- Novice Applicant.** Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.
- Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.
- 7. Federal Debt Delinquency.** Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."
 - 8. Type of Applicant.** Enter the appropriate letter in the box provided.
 - 9. Type of Submission.** See "Definitions for Form ED 424" attached.
 - 10. Executive Order 12372.** See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."
 - 11. Proposed Project Dates.** Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).
 - 12. Human Subjects Research.** (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")
 - If Not Human Subjects Research.** Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.
 - If Human Subjects Research.** Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")
 - 12a. If Human Subjects Research is Exempt from the Human Subjects Regulations.** Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check “No” if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. “Nonexempt Research Narrative” in the page entitled “Definitions for Form ED 424.” Insert this narrative immediately following the ED 424 face page.

12a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter “None.” In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

13. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body’s authorization for you to sign this application as official representative must be on file in the applicant’s office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. "Construction" includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). "Construction" also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term "equipment" includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a)

information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked "Yes" for Item 12 on the ED 424, the applicant must provide a human subjects "exempt research" or "nonexempt research" narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked "Yes" for item 12 a. and designated exemption numbers(s), provide the "exempt research" narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.

Copies of the Department of Education’s Regulations for the Protection of Human Subjects, 34 CFR Part 97 and other pertinent materials on the protection of human subjects in research are available from the Grants Policy and Oversight Staff, Office of the Chief Financial Officer, U.S. Department of Education, Washington, D.C. 20202-4248, telephone: (202) 708-8263, and on the U.S. Department of Education’s Protection of Human Subjects in Research Web Site at <http://www.ed.gov/offices/OCFO/humansub.html>

EARLY READING FIRST PROGRAM **PRE-APPLICATION FORM A**

APPLICANT ELIGIBILITY (Page 1)

Each application must be submitted by one or more entities that qualify as an eligible applicant, and must include this completed form. One or more eligible applicants may have other partners; *however, the fiscal agent must be one of the eligible applicants listed on this form.* Eligible applicants are the following:

- A local educational agency (LEA) that is eligible under Reading First criteria, as designated for the purposes of the FY 2003 Early Reading First grant competition on the list of eligible LEAs on the Department's Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>.
- A public or private organization or agency (including faith-based organizations) *located in a community served by one of the eligible LEAs on the list described above.* Unless the public or private organization is a preschool program applying on its own behalf, it must apply on behalf of one or more programs that serve preschool-age children (such as a Head Start program, a child care program, a family literacy program such as Even Start, or a lab school at a university).
- One or more of the eligible LEAs, applying in collaboration with one or more of the eligible organizations or agencies.

Instructions: Complete the form by filling in the name(s) and address(es) of the eligible applicant(s) in the left column. In the middle column, indicate the type of applicant by checking the appropriate box. In the right column, list the eligible LEA in which the applicant is located. The list of eligible LEAs and their CCD ID numbers can be found at the Early Reading First website located at <http://www.ed.gov/offices/OESE/earlyreading/index.html>.

In the case of group applications, the eligibility of each member of the group must be demonstrated through the completion of the table below. Use the continuation of the form on page D-28.

NAME AND ADDRESS OF ELIGIBLE APPLICANT(S)	TYPE OF APPLICANT (CHECK ONE)	ELIGIBLE LEA IN WHICH APPLICANT IS LOCATED <i>(include CCD ID number)</i>
.....	<input type="checkbox"/> Eligible LEA <input type="checkbox"/> Public or Private organization or agency located in an eligible LEA that operates one or more preschool programs or is applying on behalf of one or more preschool programs

(form continues on next page)

***EARLY READING FIRST PROGRAM
PRE-APPLICATION FORM A***

APPLICANT ELIGIBILITY
(Page 2)

NAME AND ADDRESS OF ELIGIBLE APPLICANT(S)	TYPE OF APPLICANT (CHECK ONE)	ELIGIBLE LEA IN WHICH APPLICANT IS LOCATED <i>(include CCD ID number)</i>
<hr/> <hr/> <hr/>	<input type="checkbox"/> <i>Eligible LEA</i> <input type="checkbox"/> <i>Public or Private organization or agency located in an eligible LEA that operates one or more preschool programs or is applying on behalf of one or more preschool programs.</i>	<hr/>
<hr/> <hr/> <hr/>	<input type="checkbox"/> <i>Eligible LEA</i> <input type="checkbox"/> <i>Public or Private organization or agency located in an eligible LEA that operates one or more preschool programs or is applying on behalf of one or more preschool programs.</i>	<hr/>
<hr/> <hr/> <hr/>	<input type="checkbox"/> <i>Eligible LEA</i> <input type="checkbox"/> <i>Public or Private organization or agency located in an eligible LEA that operates one or more preschool programs or is applying on behalf of one or more preschool programs.</i>	<hr/>
<hr/> <hr/> <hr/>	<input type="checkbox"/> <i>Eligible LEA</i> <input type="checkbox"/> <i>Public or Private organization or agency located in an eligible LEA that operates one or more preschool programs or is applying on behalf of one or more preschool programs.</i>	<hr/>

***EARLY READING FIRST PROGRAM
PRE-APPLICATION FORM B***

**COMPETITIVE PRIORITY 1
(Children From Low-Income Families)
(Page 1)**

To qualify for points under Pre-Application Competitive Priority 1, an Early Reading First project must meet the requirements set forth in Pre-Application Competitive Priority 1, and complete this form.

A. Each preschool center to be supported by the proposed Early Reading First project must have:

- at least 75 percent of the children enrolled in the preschool center qualify to receive free or reduced priced lunches

or

- at least 75 percent of the children enrolled in the elementary school, in the school attendance area in which that center is located, qualify to receive free or reduced price lunches.

B Each preschool center that will be supported by the proposed Early Reading First project and listed in the Context portion of the Pre-Application is located in a community served by an eligible LEA, or primarily serves children who will attend kindergarten in an eligible LEA. (Eligible LEAs and their CCD ID numbers are listed on the Early Reading First website at <http://www.ed.gov/offices/OESE/earlyreading/index.html>).

Name of Preschool Center	Standard of Poverty Met by the Preschool Center (check one for each center)	Eligible LEA in which Preschool Center is Located (include CCD ID number)
<hr/>	<input type="checkbox"/> at least 75 percent of the children enrolled in the preschool center qualify to receive free or reduced priced lunches <input type="checkbox"/> at least 75 percent of the children enrolled in the elementary school , in the school attendance area in which that center is located, qualify to receive free or reduced price lunches	<hr/>

(form continues on next page)

***EARLY READING FIRST PROGRAM
PRE-APPLICATION FORM B***

**COMPETITIVE PRIORITY 1
(Children From Low-Income Families)
(Page 2)**

Name of Preschool Center	Standard of Poverty Met by the Preschool Center (check one for each center)	Eligible LEA in which Preschool Center is Located (include CCD ID number)
_____	<input type="checkbox"/> at least 75 percent of the children enrolled in the preschool center qualify to receive free or reduced priced lunches <input type="checkbox"/> at least 75 percent of the children enrolled in the elementary school , in the school attendance area in which that center is located, qualify to receive free or reduced price lunches	_____
_____	<input type="checkbox"/> at least 75 percent of the children enrolled in the preschool center qualify to receive free or reduced priced lunches <input type="checkbox"/> at least 75 percent of the children enrolled in the elementary school , in the school attendance area in which that center is located, qualify to receive free or reduced price lunches	_____
_____	<input type="checkbox"/> at least 75 percent of the children enrolled in the preschool center qualify to receive free or reduced priced lunches <input type="checkbox"/> at least 75 percent of the children enrolled in the elementary school , in the school attendance area in which that center is located, qualify to receive free or reduced price lunches	_____
_____	<input type="checkbox"/> at least 75 percent of the children enrolled in the preschool center qualify to receive free or reduced priced lunches <input type="checkbox"/> at least 75 percent of the children enrolled in the elementary school , in the school attendance area in which that center is located, qualify to receive free or reduced price lunches	_____



Survey on Ensuring Equal Opportunity FOR APPLICANTS

Do not enter information below unless instructed to do so.

OMB No. 1890-0014 Exp. 1/31/2006

Purpose: This form is for applicants that are nonprofit private organizations (not including private universities). Please complete it to assist the Federal government in ensuring that all qualified applicants, small or large, non-religious or faith-based, have an equal opportunity to compete for Federal funding. Information provided on this form will not be considered in any way in making funding decisions and will not be included in the Federal grants database.

INSTRUCTIONS FOR SUBMITTING SURVEY

If submitting hard copy, please place the completed survey in an envelope labeled "Applicant Survey." Seal the envelope and include it with your application package.

If submitting electronically, please include the PR Award Number assigned to your e-application in the box above entitled "*Do not enter information below unless instructed to do so.*" Place and seal the completed survey in an envelope and mail it to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

1. Does the applicant have 501(c)(3) status?

☐

Yes

☐

No

2. How many full-time equivalent employees does the applicant have?
(Check only one box).

☐

3 or Fewer

☐

15-50

☐

4-5

☐

51-100

☐

6-14

☐

over 100

3. What is the size of the applicant's annual budget? (Check only one box.)

☐

Less Than \$150,000

☐

\$150,000 - \$299,999

☐

\$300,000 - \$499,999

☐

\$500,000 - \$999,999

☐

\$1,000,000 - \$4,999,999

☐

\$5,000,000 or more

4. Is the applicant a faith-based/religious organization?

☐

Yes

☐

No

5. Is the applicant a non-religious community-based organization?

☐

Yes

☐

No

6. Is the applicant an intermediary that will manage the grant on behalf of other organizations?

☐

Yes

☐

No

7. Has the applicant ever received a government grant or contract (Federal, State, or local)?

☐

Yes

☐

No

8. Is the applicant a local affiliate of a national organization?

☐

Yes

☐

No

Survey Instructions on Ensuring Equal Opportunity for Applicants

1. 501(c)(3) status is a legal designation provided on application to the Internal Revenue Service by eligible organizations. Some grant programs may require nonprofit applicants to have 501(c)(3) status. Other grant programs do not.
2. For example, two part-time employees who each work half-time equal one full-time equivalent employee. If the applicant is a local affiliate of a national organization, the responses to survey questions 2 and 3 should reflect the staff and budget size of the local affiliate.
3. Annual budget means the amount of money your organization spends each year on all of its activities.
4. Self-identify.
5. An organization is considered a community-based organization if its headquarters/service location shares the same zip code as the clients you serve.
6. An “intermediary” is an organization that enables a group of small organizations to receive and manage government funds by administering the grant on their behalf.

7. Self-explanatory.

8. Self-explanatory

Paperwork Burden Statement

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1890-0014. The time required to complete this information collection is estimated to average five (5) minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** U.S. Department of Education, Washington, D.C. 20202-4651. **If you have comments or concerns regarding the status of your individual submission of this form, write directly to:** Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, SW, ROB-3, Room 3671, Washington, DC 20202-4725.

**EARLY READING FIRST
PRE-APPLICATION FINAL CHECKLIST**

The Pre-Application (in this order):

Part I: Preliminary Documents (required for all applicants except as indicated below)

- ☐ Survey on Equal Opportunity for Applicants, sealed in an envelope labeled “Applicant Survey” and placed on top of your pre-application package (see “Forms” section) (if applicable)
- ☐ ED Form 424, Application for Federal Assistance, CFDA No. 84.359A (Face Sheet) (see “Forms” section)
- ☐ Pre-Application Form A (Applicant Eligibility) (in “Forms” section)
- ☐ Pre-Application Form B (Competitive Priority 1 – Children From Low-Income Families) (if applicable) (in “Forms” section)
- ☐ Title Page
- ☐ Table of Contents
- ☐ Abstract briefly describing proposed administered project (1 page only, double-spaced, not numbered, applicant name at the top)
- ☐ Description of Context (2 pages only, double-spaced, not numbered with applicant name at the top)

Part II: Pre-Application Narrative (required for all applicants)

- ☐ Narrative addressing pre-application selection criteria (the equivalent of no more than 10 pages, double-spaced, 12 point font, numbered, applicant name at the top of each page)

The Appendices (may be smaller than 12-point font)

- ☐ List of names and addresses of existing preschool program(s) that the proposed Early Reading First project would support (generally limited to approximately five (5) centers)
- ☐ Numbered endnote citations (Do not include a general reference bibliography.)

Please check to make sure that you have done the following:

- ☐ The Application for Federal Assistance ED Form 424 (CFDA No. 84.359A) has been signed and dated by an authorized official and you have included the signed original with your submission.
- ☐ The budget amount on ED Form 424 (Application for Federal Assistance face sheet), item 13 (a-g), is for Year 1 only.
- ☐ You have included the signed original, and at least two copies of your complete pre-application. (Although not required, it will expedite the pre-application review process if you include two additional copies of your complete pre-application, for a total of one original and four copies.)

Section E:
EARLY READING FIRST
FULL APPLICATION – PHASE 2
CFDA No. 84.359B

The Full Application Process

Full Application Deadline

Full Application Procedures and Instructions

Full Application Selection Criteria

Full Application Competitive Priority

Full Application Budget Information

Full Application Final Checklist

Full Application Forms and Notice:

ED Form 424 (Application For Federal Assistance – CFDA # 84.359B)

ED Form 524 (Budget Information Form – CFDA # 84.359B)

Assurances – Non-Construction Programs (Standard Form 424B)

Certification Regarding Lobbying; Debarment, Supervision and Other
Responsibility Matters; and Drug Free Workplace Requirements
(ED Form 80-0013)

Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion – Lower Tier Covered Transactions (ED
Form 80-0014) (For grantee use only; do not submit with
application.)

Disclosure of Lobbying Activities (SF LLL) (submit if applicable)

Notice to All Applicants (Section 427, GEPA)

Other Important Information:

Executive Order 12372 (Intergovernmental Review of Federal Programs)

Single State Point of Contact List

Important Notice to Prospective Participants in U.S. Department of
Education Contract and Grant Programs

THE FULL APPLICATION PROCESS

The Department determines which applicants will be invited to submit full applications, considering the rank ordering of the applications based on the selection criteria and competitive priorities. The Department expects to notify pre-applicants of their status by May 2003.

To help strengthen full applications and ensure that funded projects are of the highest possible quality, the Department will provide applicants invited to submit full applications with the comments of their pre-application peer reviewers. (The Department also will make available peer review comments to applicants not invited to submit full applications.)

In this second phase of the Early Reading First application process, peer reviewers will evaluate full applications on the full application selection criteria. Applications will also be evaluated on the competitive priority and will be assigned the number of points indicated for meeting it. The Department will prepare a rank order of the full applications as determined by the total score.

The Secretary then determines which full applications will be selected for grants, considering the quality of the full applications, including their rank order. The Department will make award determinations under section 75.217 of the Education Department General Administrative Regulations (EDGAR), and, when making awards, may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program.

FULL APPLICATION DEADLINE

The deadline for postmark or hand delivery of Early Reading First Full Applications is June 27, 2003. The Department will strictly observe this closing date. Any hand delivered application must be received by the Department's Application Control Center on or before 4:30 p.m., Washington, DC time, on June 27, 2003. Any application postmarked or delivered after this deadline will not be read.

FULL APPLICATION PROCEDURES AND INSTRUCTIONS

Applicants must submit one signed original and at least two copies of their full application, including: an Abstract, the equivalent of 1 double spaced page; a Description of the Context, the equivalent of no more than 2 double-spaced pages; an Application Narrative, the equivalent of no more than 35 double-spaced pages; a Budget on ED Form 524, Section A only; a Budget Narrative, the equivalent of no more than 5 double-spaced pages, and the other limited materials indicated in the Full Application Final Checklist on page E-17. Although not required, it will expedite the full application review process if applicants include two additional copies of their full applications, for a total of one original and four copies.

Abstract

Applicants must submit a one-page, double-spaced Abstract, briefly describing their proposed project. Do not number this page. Place the name of the applicant at the top of the page.

Description of Context

Each applicant must first use up to two (2) double-spaced pages of its full application to describe the context of the existing early childhood education programs serving preschool-age children (preschool programs) that they propose to support with Early Reading First funds. This description may be the same description that the applicant included in its pre-application, or a revised description. Do not number these pages. Place the name of the applicant at the top of each page.

Full Application Narrative

Peer reviewers will evaluate each full application on its response to the full application selection criteria listed below, based on how well the applicant responds to those selection criteria. The maximum number of points that an application may receive for the full application selection criteria is 100. The applicant should prepare the Full Application Narrative to respond to the selection criteria in the order in which they are listed. In addition, within the Full Application Narrative, the applicant should respond to the Notice to All Applicants (Section 427, GEPA) contained in the “Forms” section of this Full Application package, and indicate in the narrative the portion that constitutes that response.

Place the name of the applicant and the page number at the top of each page of the Full Application Narrative. Number each page consecutively with the first page of the narrative listed as page 1.

Competitive Priority

In addition, applicants that meet the Competitive Priority for Novice Applicants will receive 5 extra points. To obtain points under this full application competitive priority, an applicant must qualify as a novice applicant, and also must check “Yes” in response to Question 6 on the Application for Federal Assistance Form (ED Form 424) that it files with its full application. This form is included in this application package.

Budget and Budget Narrative – Full Application

For the Full Application Budget, applicants must use ED Form 524, Section A only, which is attached and also available on the Department’s website. Applicants must complete Section A, columns for the first, second, and third years, and the total column. Section B is not applicable to these grants.

This Budget must be accompanied by a Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) that is no more than five double-spaced pages. Place the name of the applicant and the page number at the top of each page of the

Budget Narrative. Number each page consecutively with the first page of the Budget Narrative listed as page 1. In the budget narrative, identify the general nature and amounts of proposed expenditures within budget categories and provide a brief justification of how you intend to spend the funds requested for each budget category. Include enough detail to enable reviewers and project staff to understand what the funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes.

The “estimated funding” information in Section 14 of the standard application face page (Standard Form 424) should match the amounts for Year One on the budget form, ED Form 524. Please double-check the amounts on those two forms to make sure that they are accurate totals and that they match one another.

Page and Formatting Standards

- A page is 8.5” x 11”, on one side only, with 1” margins at the top, bottom, and both sides.
- Double space (no more than three lines per vertical inch) all text in the application narrative, including titles, headings, quotations, references, and captions.
- Use a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).
- You may use other point fonts for any tables, charts or graphs. However, those tables, charts or graphs are included in the over-all narrative page limits.

NOTE: Do not include any enclosures or appendices other than those listed on the “Full Application Final Checklist” on page E-17. The Department will instruct peer reviewers to base their evaluations and scoring only on the information contained in up to 2 pages of the Description of Context, up to 35 pages of the Full Application Narrative, the Budget, up to 5 pages of the Full Application Budget Narrative, and the other limited materials listed in the Full Application Final Checklist. Any other materials, including non-print materials such as videotapes or CDs, will not be considered.

Reviewers will not evaluate any of the specified sections of your application that exceed the page limit if you apply the above standards or that exceed the equivalent of the page limit if you apply other standards.

Please submit the signed original full application in a format that will ensure that the application stays intact (such as staples or binder clips), and that no pages are lost during our handling and review processes (for example, do not use rubber bands or paper clips). Although not required, it will facilitate the full application review process if applicants include two additional copies for a total of one original and four copies of their full application. Please do not submit your application bound or in a three-ring binder.

Appendices

Include a list of the names and address(es) of the preschool program(s) that the proposed Early Reading First project would support.

Submit curriculum vitae for key personnel – no more than 5 people (including key contract personnel and consultants).

Include numbered endnote citations for research cited specifically in the Full Application Narrative. A specific citation style is not required, however, each reference should include at a minimum the author(s), the title of the book, or journal and article, and the date of publication. Do not include a general reference bibliography.

Your Full Application Appendices may not include other enclosures.

Instructions for Transmitting Applications

If you want to apply for a grant and be considered for funding, you must meet one of the following deadline requirements:

(a) If You Send Your Full Application by Mail

You must mail the original and at least two copies of your full application so that they are postmarked on or before June 27, 2003, to:

U.S. Department of Education
Application Control Center — Room 3671
Early Reading First Program Grants (Pre-Application)
Attention: CFDA No. 84.359A
7th and D Streets, SW
Room 3633
Regional Office Building 3
Washington, DC 20202-4725
Telephone: (202) 708-9493

You must show one of the following as proof of mailing:

1. A legibly dated U. S. Postal Service Postmark.
2. A legible mail receipt with the date of mailing stamped by the U. S. Postal Service.
3. A dated shipping label, invoice, or receipt from a commercial carrier.
4. Any other proof of mailing acceptable to the Secretary.

If you mail an application through the U.S. Postal Service, we do not accept either of the following as proof of mailing:

- (1) A private metered postmark.
- (3) A mail receipt that is not dated by the U.S. Postal Services.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office. Full applications postmarked after June 27, 2003 will not be read.

SPECIAL NOTE: Due to possible disruptions to normal mail delivery, the Department encourages you to consider using an alternative delivery method (for example, a commercial carrier such as Federal Express or United Parcel Service; U.S. Postal Service Express mail; or a courier service) to transmit your Full Application to the Department. If you use an alternative delivery method, please follow the instructions for “Full Applications Delivered by Hand.”

(b) If You, or a Courier or Delivery Service, Delivers Your Full Application by Hand

You or your courier must hand deliver the original and at least two copies of the full application so that they are received by the Department’s Application Control Center on or before 4:30 p.m., Washington, DC time, on June 27, 2003 at the:

U.S. Department of Education
Application Control Center
Attention: CFDA No. 84.359A
7th and D Streets, SW
Room 3633
Regional Office Building 3
Washington, DC 20202-4725.

The Application Control Center accepts application deliveries daily between 8:00 a.m. and 4:30 p.m. (Washington, DC time), except Saturdays, Sundays, and Federal holidays. The Center accepts application deliveries through the D Street Entrance. A person delivering an application must show identification to enter the building. Hand-delivered full applications received after 4:30 p.m. Washington, DC time on the deadline date will not be read.

NOTES:

(1) If you send your application by mail or if you or your courier or delivery service deliver it by hand, the Application Control Center will mail a Grant Application Receipt Acknowledgement to you. If you do not receive the notification of application receipt within fifteen (15) days from the date of mailing or delivering the application, you should call the U.S. Department of Education Application Control Center at (202) 708-9493. :

(2) If your application is late, we will notify you that we will not consider the application.

(3) You must indicate on the envelope and—if not provided by the Department—in Item 4 of the Application for Federal Education Assistance (ED 424 (exp. 11/30/2004)) the CFDA number—and suffix letter—of the competition under which you are submitting your application.

EARLY READING FIRST PROGRAM FULL APPLICATION SELECTION CRITERIA

Each of the selection criteria listed below is critical to the design and implementation of high-quality Early Reading First projects. The Department, through a separate peer review panel of experts, will evaluate each full application based on the full application selection criteria (worth up to 100 points), and will determine whether each full application qualifies for an additional five points under the full application competitive priority included in this notice

The Department will select applicants for funding based on the quality of the full applications, including their rank order based on the full application selection criteria and competitive priority. In making funding decisions, the Department will use the procedures in section 75.217 of EDGAR, 34 CFR 75.217. When making awards, the Department may take into consideration other information that is relevant to obtaining a variety of types of funded projects and an equitable distribution of awards throughout the nation, such as geographical representation, location in high-need urban and rural areas, project size, and type of program. The Department anticipates making final awards in September 2003.

	<u>Maximum Points</u>
1. Capacity and Significance of Project	(15 total points)
2. Quality of Project Activities and Services	(35 total points)
3. Quality of Project Personnel	(10 total points)
4. Quality of Management Plan	(20 total points)
5. Quality of the Project Evaluation	(20 total points)
☺☺☺	
6. Competitive Preference - Novice Applicant(s)	(5 total points)

Reminder to Applicants: The applicant should prepare the Full Application Narrative to respond to the full application selection criteria in the order in which they are listed. Applicants should not assume that reviewers have read their pre-applications and should ensure that their full applications include all information needed by reviewers to evaluate their proposals. To avoid redundancy within the full application, information that the applicant provides in one section of the full application can be cross-referenced in another section. Reviewers will base their evaluation of the full application on the Description of Context, the Full Application Narrative, the Budget and Budget Narrative, and other limited materials listed in the Full Application Final Checklist on page E-17.

DETAILED FULL APPLICATION SELECTION CRITERIA

Step 1 – DESCRIPTION OF CONTEXT

Use no more than two (2) double-spaced pages to describe the existing preschool program(s) that you propose to support and improve with Early Reading First funds. The peer reviewers will consider the information in the context description of the existing preschool programs, as well as all other information in the full application, in evaluating the applicant's response to the full application selection criteria. This description may be the same description that the applicant included in its pre-application, or a revised description. Include a brief description of each of the following: the ages and number of the children being served; demographic and socioeconomic information on those children; information on the type(s) of special needs that any of the children may have; the average hours the children attend the program (hours/day, days/week, and months/year); primary funding source(s); the basic instructional program; and the number of staff and their qualifications.

The Secretary believes that programs with the capacity and potential to become Early Reading First preschool centers of educational excellence are likely currently to be preschool programs that are stable and effectively attend to the developmental domains traditionally supported by preschool programs, including social, emotional, and physical. The Secretary recommends that the applicant demonstrate the programs' current capacity in developing these domains when describing the context of the existing program.

In addition to the 2-page context description, applicants must also include, in the Appendices to the pre-application, a list of the names and addresses of the preschool programs that the Early Reading First project will support.

Step 2 – ADDRESS EACH OF THE FOLLOWING PRE-APPLICATION SELECTION CRITERIA

1. Capacity and significance of project (up to 15 points)

Reviewers will evaluate the capacity and significance of the proposed project, specifically:

- a. The likelihood that the project will become a center of educational excellence for at-risk preschool-age children, as demonstrated by the goals articulated and

the program's capacity and potential for achieving those goals.

b. The extent to which the project will provide unique research-based benefit to the field of early childhood education, such as through information, materials, and techniques, and the potential for those resources being used effectively in other settings.

2. *Quality of Project Activities and Services*

(up to 35 total points)

Reviewers will evaluate the extent to which the applicant presents a detailed plan that explains how the project will provide the following activities and services to support the development of language, cognitive, and early reading skills for preschool-age children; and how the project will incorporate strategies that meet the diverse needs of all of the project's preschool-age children (including those with limited English proficiency, disabilities, and other special needs) into those activities and services:

- a. Providing a rich oral language and print-rich environment and developing preschool-age children's oral language, phonological awareness, print awareness and alphabet knowledge.
- b. Preparing and providing ongoing assistance to staff, through professional development and other support.
- c. Providing services and using instructional materials and activities, including explicit, contextualized, and scaffolded instruction, and integrating those instructional materials and activities into the applicant's preschool programs and family literacy services.
- d. Using screening reading assessments or other appropriate measures to determine the skills children are learning and identify children who might be at risk of reading failure.
- e. Helping children, especially those experiencing difficulty with language and early reading skills, to make the transition from preschool to formal classroom instruction.
- f. Involving parents meaningfully in their children's early education.

The reviewers also will evaluate the extent to which the applicant's detailed plan explains how each of the project's activities and services are based on up-to-date knowledge from scientifically based reading research, with research citations where appropriate.

3. *Quality of Project Personnel*

(up to 10 total points)

Reviewers will evaluate the strength of the qualifications, including relevant training and experience of —

- the project staff; and
- the personnel with whom the project will contract to assist in project activities, including those who will provide research-based professional development that will help staff support children's development of language, cognitive, and early reading skills.

(NOTE: The applicant may provide the curriculum vitae of up to 5 key personnel, including key project staff and consultants, in the Appendices.)

4. *Quality of Management Plan* (up to 20 total points)

Reviewers will evaluate the feasibility of the proposed project and the likelihood that the project will be able to achieve its expected goals, taking into consideration the strength of any partnership, using the following factors:

- a. The adequacy of the management plan to achieve the goals of the proposed project on time and within budget, including: clearly defined goals, activities, responsibilities, and a timeline for accomplishing project tasks.
- b. The extent to which the time commitments of the project director and principal investigator and other key project personnel, including any partnership commitments, are appropriate and adequate to meet the objectives of the proposed project.
- c. The extent to which the proposed costs are adequate in relation to the proposed activities, the number of persons to be served, and the anticipated results and benefits.

5. *Quality of the Project Evaluation* (up to 20 total points)

Reviewers will evaluate the extent to which the methods of evaluation include the use of objective, valid and reliable performance measures that are clearly related to the intended outcomes of the project and will produce quantitative and qualitative data in the following areas:

- a. Improvement in classroom environment.
- b. Improvement in teacher knowledge and qualifications.
- c. Improvement in teacher instruction and planning.
- d. Improvement in outcomes for children's language, cognitive, and early reading skills.

EARLY READING FIRST PROGRAM
FULL APPLICATION COMPETITIVE PRIORITY -
NOVICE APPLICANT

Early Reading First Full Applications that meet the following competitive priority will receive 5 extra points. An Early Reading First Program full application that is submitted by a *novice applicant* (or a group of novice applicants) under 34 CFR 75.225 that is otherwise eligible to apply under this competition qualifies for this competitive priority. To obtain points under this full application competitive priority, an applicant must qualify as a novice applicant as described below, and also must check “Yes” in response to Question 6 on the Application for Federal Assistance Form (ED Form 424) that it files with its full application. This form is included in this application package. **If “Yes” is not checked in response to Question 6 on that form, the applicant will not be considered for these priority points.**

A *novice applicant*, for this competition is defined as an applicant that has not had an active discretionary grant from the Federal Government in the five years before the deadline date for submitting the full application in this grant competition. For the purposes of this requirement, a grant is active until the end of the grant’s project or funding period, including any extensions of those periods that extend the grantee’s authority to obligate funds.

In order for a group application to qualify as a novice applicant, every eligible applicant in the group must meet the above definition of novice applicant, and one of those novice eligible entities also must be the fiscal agent for the grant.

A partnership may qualify for points under Full Application Competitive Priority 1 (Novice Applicant), as long as the entity or entities serving as the eligible applicant (one of which must be the fiscal agent) is a novice applicant.



This competitive priority is included to broaden and diversify the pool of qualified applicants and provide greater opportunities for inexperienced applicants with high-quality applications to receive funding.



**BUDGET INFORMATION:
HOW TO COMPLETE THE BUDGET PORTION OF THE FULL
APPLICATION**

In order to be considered for Federal funding each applicant must provide the following with its full application:

- ED Form 524 Section A
- A descriptive Budget Narrative (which serves to meet the requirements of ED Form 524, Section C) that explains the requested Federal amounts for individual cost categories, for Project Years 1, 2, and 3.

ED FORM 524

ED Form 524 Section A is used to apply to individual U.S. Department of Education discretionary grant programs. All applicants must complete Section A, columns for Years 1, 2, and 3, and the total column. (Do not complete Section B.)

INSTRUCTIONS TO COMPLETE ED FORM 524, SECTION A

Name: Enter the Name of the applicant organization(s) or institution(s) in the blank space provided.

Personnel (line 1): Enter project personnel salaries and wages only. Include fees and expenses for consultants on line 6.

Fringe Benefits (line 2): The institution's normal fringe benefit contribution may be charged to the program. Leave this line blank if fringe benefits applicable to direct salaries and wages are treated as part of the indirect cost.

Travel (line 3): Indicate the travel costs of employees and participants only. (Please include travel to at least one Early Reading First conference in Year 1 of your project.) Include travel of such persons as consultants and trainees on line 6.

Equipment (line 4): Indicate the cost of non-expendable personal property that has a usefulness of greater than one year, and acquisition cost that is the lesser of the capitalization level established by the applicant entity for financial statement purposes, or \$5,000 per article. Lower limits may be established to maintain consistency with the applicant's policy.

Supplies (line 5): Show all tangible personal property except that included on line 4.

Contractual (line 6): Include consultant travel costs and fees.

Construction (line 7): Not applicable.

Other (line 8): Indicate all direct costs not covered on lines 1-6. Examples are equipment rental, required fees, communication costs, or printing costs.

Total Direct Costs (line 9): The sum of lines 1-8.

Indirect Costs (line 10): Indicate the applicant's approved, unrestricted, indirect cost rate, per sections 75.560 – 75.580 of EDGAR. If an applicant does not have an approved indirect cost rate agreement with a cognizant Federal agency, the applicant must apply to the Department for a temporary indirect cost rate if it wishes to charge indirect costs to the grant. For more information, go to the Department's website at: www.ed.gov/offices/OCFO/FIPAO/icgindex.html, or call the Indirect Cost group at (202) 708-8787.

Training Stipends (line 11): Indicate the level of awards given to participants either in the forms of stipends (non-repayable) or in the form of scholarships (repayable).

Total Cost (line 12): This should equal the sum of lines 9-11 (total direct costs + indirect + stipends). The sum for column one, labeled *Project Year 1 (a)*, should also be equal to item 13a on the application face sheet (ED Form 424)

DETAILED BUDGET NARRATIVE

Each full application must provide a Budget Narrative (which serves to meet the requirements of Form 524, Section C) for requested Federal funds. You must limit your Budget Narrative to the equivalent of no more than **5 double-spaced pages**, using a font that is either 12-point or larger or no smaller than 10 pitch (characters per inch).

The Budget Narrative for requested Federal funds should provide a justification of how money requested per budget category is intended to be spent. This Budget Narrative provides an opportunity for the applicant to identify the nature and amount of the proposed expenditures. There should be enough detail to enable reviewers and project staff to understand what funds will be used for, how much will be expended, and the relationship between expended funds and project activities and outcomes. Applicants' narratives should contain the following information:

Personnel

- Provide the title of each position.
- Provide the salary for each position.
- Provide the amount of time each person will devote to the project.
- Explain the importance of each position to the success of the project.

Fringe Benefits

- Give the fringe benefit percentages of all personnel in the project.

Travel

- Explain the purpose of the travel and how it relates to project success, and which staff will participate. Please include travel to at least one Early Reading First conference in Year 1 of your project.

Equipment

- Identify each type of equipment.
- Provide the cost per equipment item.
- Explain the purpose of the equipment, and how it relates to project success.

Supplies

- Identify the type of supplies by general category (e.g. instructional materials, office supplies, etc.)
- Provide the purpose for purchasing the supplies.

Contractual

- Provide the purpose and relation to project success.
- Identify the name(s) of the contracting party, including consultants, if available.
- Provide the cost per contractor.
- Provide the amount of time that the project will be working with the contractor(s).

Construction

No costs allowed.

Other Direct Costs

- Identify each type of cost in the *Other* category (e.g., communications, printing, postage, equipment rental).
- Provide the cost per item (printing = \$500, postage = \$750).
- Provide the purpose for the expenditures and relation to project success.

Total Direct Costs

The amount that is the sum of expenditures, per budget category, of lines 1-8.

Indirect Costs

See previous reference to Indirect Costs.

Training Stipends (Scholarships)

- Identify who will benefit from a scholarship/stipend.
- Provide the purpose of the scholarship/stipend award.
- Identify the cost per scholarship/stipend.
- Explain the importance of the scholarship/stipend to the success of the project.

EARLY READING FIRST PROGRAM
FULL APPLICATION FINAL CHECKLIST

The Full Application (in this order):

Part I: Preliminary Documents (required for all applicants, except as indicated below)

- ☐ ED 424 Form, Application for Federal Assistance, CFDA No. 84.359B (Face Sheet) (in Forms section of this guide), including human subjects research narrative if applicable
- ☐ Title Page
- ☐ Table of Contents
- ☐ Abstract briefly describing proposed project (1 page only, double-spaced, not numbered, with project name at top)
- ☐ Description of Context (2 pages only, double-spaced, not numbered with project name at the top)

Part II: Full Application Narrative (required for all applicants)

- ☐ Full Application Narrative (the equivalent of no more than 35 pages, double-spaced, 12 point font, addressing the full application selection criteria and the response to Notice to All Applicants (see below under “Assurances and Certifications”))

Part III: Budget Information (required for all applicants)

- ☐ ED 524 Form, Budget Information – Non Construction Programs, Part A only, columns for Project Years 1, 2, and 3, and total column
- ☐ Budget Narrative (ED Form 524, Section C) (Explanation of proposed costs in narrative form – this is in addition to the above estimated budget – the equivalent of no more than 5 pages, double-spaced, 12 point font)

The Appendices

- ☐ List of names and addresses of existing preschool program(s) that the proposed Early Reading First project would support (generally limited to approximately five (5) centers)
- ☐ Curriculum vitae of key personnel – no more than 5 people (including key contract personnel and consultants)
- ☐ Numbered endnote citations (Do not include a general reference bibliography.)

Assurance and Certifications (required for all applicants, except as indicated below or on the form)

- ☐ SF 424B Form - Assurance - Non-Construction Programs
- ☐ ED 80-0013 Form - Certifications Regarding Lobbying; Debarment, Supervision and other Responsibility Matters; and Drug-free Workplace Requirements
- ☐ SF LLL Form - Disclosure of Lobbying Activities (SF LLL) (submit if applicable)
- ☐ Response to Notice to All Applicants (Section 427, GEPA) (response should be included in application narrative)

Please check to make sure that you have done the following:

- ☐ The Application for Federal Assistance ED Form 424 (CFDA No. 84.359B) has been signed and dated by an authorized official and you have included the signed original with your submission.
- ☐ The budget amount on ED Form 424 (Application for Federal Assistance face sheet), item 13 (a-g) is for Year 1 only.
- ☐ You have included the signed original and at least two copies of your complete full application. (Although not required, it will facilitate the full application review process if you include two additional copies of your complete full application for a total of one original and four copies.)

EARLY READING FIRST PROGRAM FULL APPLICATION

FORMS

All of the forms listed and attached below can be downloaded as Word, Wordperfect, or PDF files from:

<http://www.ed.gov/offices/OCFO/grants/appforms.html>. They appear in the same sequence here as they appear on that website.

1. **ED 424 Form and Instructions**– Application Form for Federal Assistance (CFDA # 84.359B)
2. **ED 524 Form and Instructions** – Budget Information, Non–Construction Programs
3. **SF 424B Form** – Assurances, Non-Construction Programs
4. **ED 80–0013 Form** – Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements
5. **ED 80–0014 Form** – Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion – Lower Tier Covered Transactions (included for grantee use only; do not submit with application)
6. **SF LLL Form** – Disclosure of Lobbying Activities (submit if applicable)

NOTICE

The Notice to All Applicants (Section 427, GEPA) is attached below. All applicants must respond to this notice in the narrative portion of their Full Applications.

OTHER IMPORTANT INFORMATION

Information on the following is attached below:

1. Executive Order 12372 (Intergovernmental Review of Federal Programs)
2. Single State Point of Contact List
3. Important Notice to Prospective Participants in U.S. Department of Education Grant and Contract Programs

Application for Federal
Education Assistance (ED 424)



U.S. Department of Education

Form Approved
OMB No. 1875-0106
Exp. 11/30/2004

Applicant Information Organizational Unit

1. Name and Address

Legal Name: _____

Address: _____

City _____

State _____

County _____

ZIP Code + 4 _____

2. Applicant's D-U-N-S Number |____|____|____|____|____|____|____|____|____|____|

6. Novice Applicant ____ Yes ____ No

3. Applicant's T-I-N |____|____| - |____|____|____|____|____|____|

7. Is the applicant delinquent on any Federal debt? ____ Yes ____ No
(If "Yes," attach an explanation.)

4. Catalog of Federal Domestic Assistance #: **84.** 3 5 9 B

Title: ____ Early Reading First Program Full Application

8. Type of Applicant (Enter appropriate letter in the box.) |____|

A - State
B - Local
C - Special District
D - Indian Tribe
E - Individual
F - Independent School District
G - Public College or University
H - Private, Non-profit College or University
I - Non-profit Organization
J - Private, Profit-Making Organization

K - Other (Specify): _____

5. Project Director: _____

Address: _____

City _____ State _____ Zip code + 4 _____

Tel. #: () _____ - _____ Fax #: () _____ - _____

E-Mail Address: _____

Application Information

9. Type of Submission:

-PreApplication *-Application*
____ Construction ____ Construction
____ Non-Construction ____ Non-Construction

10. Is application subject to review by Executive Order 12372 process?

____ Yes (Date made available to the Executive Order 12372 process for review): ____/____/____

____ No (If "No," check appropriate box below.)

____ Program is not covered by E.O. 12372.

____ Program has not been selected by State for review.

12. Are any research activities involving human subjects planned at any time during the proposed project period?
____ Yes (Go to 12a.) ____ No (Go to item 13.)

12a. Are all the research activities proposed designated to be exempt from the regulations?

____ Yes (Provide Exemption(s) #): _____

____ No (Provide Assurance #): _____

13. Descriptive Title of Applicant's Project:

11. Proposed Project Dates: ____/____/____

Start Date:

End Date:

Estimated Funding

14a. Federal \$ _____ . 00

b. Applicant \$ _____ . 00

c. State \$ _____ . 00

d. Local \$ _____ . 00

e. Other \$ _____ . 00

f. Program Income \$ _____ . 00

g. TOTAL \$ _____ . 00

Authorized Representative Information

15. To the best of my knowledge and belief, all data in this preapplication/application are true

and correct. The document has been duly authorized by the governing body of the applicant

and the applicant will comply with the attached assurances if the assistance is awarded.

a. Authorized Representative (Please type or print name clearly.)

b. Title: _____

c. Tel. #: () _____ - _____ **Fax #:** () _____ - _____

d. E-Mail Address: _____

e. Signature of Authorized Representative

Date: ____/____/____

Instructions for Form ED 424

1. Legal Name and Address. Enter the legal name of applicant and the name of the primary organizational unit which will undertake the assistance activity.

2. D-U-N-S Number. Enter the applicant's D-U-N-S Number. If your organization does not have a D-U-N-S Number, you can obtain the number by calling 1-800-333-0505 or by completing a D-U-N-S Number Request Form. The form can be obtained via the Internet at the following URL: <http://www.dnb.com>.

3. Tax Identification Number. Enter the taxpayer's identification number as assigned by the Internal Revenue Service.

4. Catalog of Federal Domestic Assistance (CFDA) Number. Enter the CFDA number and title of the program under which assistance is requested. The CFDA number can be found in the federal register notice and the application package.

Project Director. Name, address, telephone and fax numbers, and e-mail address of the person to be contacted on matters involving this application.

Novice Applicant. Check "Yes" or "No" only if assistance is being requested under a program that gives special consideration to novice applicants. Otherwise, **leave blank**.

Check "Yes" if you meet the requirements for novice applicants specified in the regulations in 34 CFR 75.225 and included on the attached page entitled "Definitions for Form ED 424." By checking "Yes" the applicant certifies that it meets these novice applicant requirements. Check "No" if you do not meet the requirements for novice applicants.

10. Federal Debt Delinquency. Check "Yes" if the applicant's organization is delinquent on any Federal debt. (This question refers to the applicant's organization and not to the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.) Otherwise, check "No."

11. Type of Applicant. Enter the appropriate letter in the box provided.

12. Type of Submission. See "Definitions for Form ED 424" attached.

10. Executive Order 12372. See "Definitions for Form ED 424" attached. Check "Yes" if the application is subject to review by E.O. 12372. Also, please enter the month, day, and four (4) digit year (e.g., 12/12/2001). Otherwise, check "No."

11. Proposed Project Dates. Please enter the month, day, and four (4) digit year (e.g., 12/12/2001).

12. Human Subjects Research. (See I.A. "Definitions" in attached page entitled "Definitions for Form ED 424.")

If Not Human Subjects Research. Check "No" if research activities involving human subjects are not planned at any time during the proposed project period. The remaining parts of Item 12 are then not applicable.

If Human Subjects Research. Check "Yes" if research activities involving human subjects are planned at any time during the proposed project period, either at the applicant organization or at any other performance site or collaborating institution. Check "Yes" even if the research is exempt from the regulations for the protection of human subjects. (See I.B. "Exemptions" in attached page entitled "Definitions for Form ED 424.")

12a. If Human Subjects Research is Exempt from the Human Subjects Regulations. Check "Yes" if all the research activities proposed are designated to be exempt from the regulations. Insert the exemption number(s) corresponding to one or more of the six exemption categories listed in I.B. "Exemptions." In addition, follow the instructions in II.A. "Exempt Research Narrative" in the attached page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

12a. If Human Subjects Research is Not Exempt from Human Subjects Regulations. Check "No"

if some or all of the planned research activities are covered (not exempt). In addition, follow the instructions in II.B. "Nonexempt Research Narrative" in the page entitled "Definitions for Form ED 424." Insert this narrative immediately following the ED 424 face page.

12a. Human Subjects Assurance Number. If the applicant has an approved Federal Wide (FWA) or Multiple Project Assurance (MPA) with the Office for Human Research Protections (OHRP), U.S. Department of Health and Human Services, that covers the specific activity, insert the number in the space provided. If the applicant does not have an approved assurance on file with OHRP, enter "None." In this case, the applicant, by signature on the face page, is declaring that it will comply with 34 CFR 97 and proceed to obtain the human subjects assurance upon request by the designated ED official. If the application is recommended/selected for funding, the designated ED official will request that the applicant obtain the assurance within 30 days after the specific formal request.

Note about Institutional Review Board Approval. ED does not require certification of Institutional Review Board approval with the application. However, if an application that involves non-exempt human subjects research is recommended/selected for funding, the designated ED official will request that the applicant obtain and send the certification to ED within 30 days after the formal request.

13. Project Title. Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.

14. Estimated Funding. Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate **only** the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 14.

15. Certification. To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. Be sure to enter the telephone and fax number and e-mail address of the authorized representative. Also, in item 15e, please enter the month, day, and four (4) digit year (e.g., 12/12/2001) in the date signed field.

Paperwork Burden Statement. According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is 1875-0106. The time required to complete this information collection is estimated to average between 15 and 45 minutes per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. If you have any comments concerning the accuracy of the estimate(s) or suggestions for improving this form, please write to: U.S. Department of Education, Washington, D.C. 20202-4651. If you have comments or concerns regarding the status of your individual submission of this form write directly to: Joyce I. Mays, Application Control Center, U.S. Department of Education, 7th and D Streets, S.W. ROB-3, Room 3633, Washington, D.C. 20202-4725

Definitions for Form ED 424

Novice Applicant (See 34 CFR 75.225). For discretionary grant programs under which the Secretary gives special consideration to novice applications, a novice applicant means any applicant for a grant from ED that—

- Has never received a grant or subgrant under the program from which it seeks funding;
- Has never been a member of a group application, submitted in accordance with 34 CFR 75.127-75.129, that received a grant under the program from which it seeks funding; and
- Has not had an active discretionary grant from the Federal government in the five years before the deadline date for applications under the program. For the purposes of this requirement, a grant is active until the end of the grant's project or funding period, including any extensions of those periods that extend the grantee's authority to obligate funds.

In the case of a group application submitted in accordance with 34 CFR 75.127-75.129, a group includes only parties that meet the requirements listed above.

Type of Submission. “Construction” includes construction of new buildings and acquisition, expansion, remodeling, and alteration of existing buildings, and initial equipment of any such buildings, or any combination of such activities (including architects' fees and the cost of acquisition of land). “Construction” also includes remodeling to meet standards, remodeling designed to conserve energy, renovation or remodeling to accommodate new technologies, and the purchase of existing historic buildings for conversion to public libraries. For the purposes of this paragraph, the term “equipment” includes machinery, utilities, and built-in equipment and any necessary enclosures or structures to house them; and such term includes all other items necessary for the functioning of a particular facility as a facility for the provision of library services.

Executive Order 12372. The purpose of Executive Order 12372 is to foster an intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The application notice, as published in the Federal Register, informs the applicant as to whether the program is subject to the requirements of E.O. 12372. In addition, the application package contains information on the State Single Point of Contact. An applicant is still eligible to apply for a grant or grants even if its respective State, Territory, Commonwealth, etc. does not have a State Single Point of Contact. For additional information on E.O. 12372 go to <http://www.cfda.gov/public/eo12372.htm>.

PROTECTION OF HUMAN SUBJECTS IN RESEARCH

I. Definitions and Exemptions

A. Definitions.

A research activity involves human subjects if the activity is research, as defined in the Department's regulations, and the research activity will involve use of human subjects, as defined in the regulations.

—Research

The ED Regulations for the Protection of Human Subjects, Title 34, Code of Federal Regulations, Part 97, define research as “a systematic investigation, including research development, testing and evaluation, designed to develop or contribute to generalizable knowledge.” *If an activity follows a deliberate plan whose purpose is to develop or contribute to generalizable knowledge it is research.* Activities which meet this definition constitute research whether or not they are conducted or supported under a program which is considered research for other purposes. For example, some demonstration and service programs may include research activities.

—Human Subject

The regulations define human subject as “a living individual about whom an investigator (whether professional or student) conducting research obtains (1) data through intervention or interaction with the individual, or (2) identifiable private information.” *(1) If an activity involves obtaining information about a living person by manipulating that person or that person's environment, as might occur when a new instructional technique is tested, or by communicating or interacting with the individual, as occurs with surveys and interviews, the definition of human subject is met. (2) If an activity involves obtaining private information about a living person in such a way that the information can be linked to that individual (the identity of the subject is or may be readily determined by the investigator or associated with the information), the definition of human subject is met.* [Private information includes information about behavior that occurs in a context in which an individual can reasonably expect that no observation or recording is taking place, and information which has been provided for specific purposes by an individual and which the individual can reasonably expect will not be made public (for example, a school health record).]

B. Exemptions.

Research activities in which the **only** involvement of human subjects will be in one or more of the following six categories of **exemptions** are not covered by the regulations:

(1) Research conducted in established or commonly accepted educational settings, involving normal educational practices, such as (a) research on regular and special education instructional strategies, or (b) research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.

(2) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior, unless: (a) information obtained is recorded in such a manner that human subjects can be identified, directly or through identifiers linked to the subjects; and (b) any disclosure of the human subjects' responses outside the research could reasonably place the subjects at risk of criminal or civil liability or be damaging to the subjects' financial standing, employability, or reputation. ***If the subjects are children, exemption 2 applies only to research involving educational tests and observations of public behavior when the investigator(s) do not participate in the activities being observed. Exemption 2 does not apply if children are surveyed or interviewed or if the research involves observation of public behavior and the investigator(s) participate in the activities being observed.*** [Children are defined as persons who have not attained the legal age for consent to treatments or procedures involved in the research, under the applicable law or jurisdiction in which the research will be conducted.]

(3) Research involving the use of educational tests (cognitive, diagnostic, aptitude, achievement), survey procedures, interview procedures or observation of public behavior that is not exempt under section (2) above, if the human subjects are elected or appointed public officials or candidates for public office; or federal statute(s) require(s) without exception that the confidentiality of the personally identifiable information will be maintained throughout the research and thereafter.

(4) Research involving the collection or study of existing data, documents, records, pathological specimens, or diagnostic specimens, if these sources are publicly available or if the information is recorded by the investigator in a manner that subjects cannot be identified, directly or through identifiers linked to the subjects.

(5) Research and demonstration projects which are conducted by or subject to the approval of department or agency heads, and which are designed to study, evaluate, or otherwise examine: (a) public benefit or service programs; (b) procedures for obtaining benefits or services under those programs; (c) possible changes in or alternatives to those programs or procedures; or (d) possible changes in methods or levels of payment for benefits or services under those programs.

(6) Taste and food quality evaluation and consumer acceptance studies, (a) if wholesome foods without additives are consumed or (b) if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Service of the U.S. Department of Agriculture.

II. Instructions for Exempt and Nonexempt Human Subjects Research Narratives

If the applicant marked “Yes” for Item 12 on the ED 424, the applicant must provide a human subjects “exempt research” or “nonexempt research” narrative and insert it immediately following the ED 424 face page.

A. Exempt Research Narrative.

If you marked “Yes” for item 12 a. and designated exemption numbers(s), provide the “exempt research” narrative. The narrative must contain sufficient information about the involvement of human subjects in the proposed research to allow a determination by ED that the designated exemption(s) are appropriate. The narrative must be succinct.

B. Nonexempt Research Narrative.

If you marked “No” for item 12 a. you must provide the “nonexempt research” narrative. The narrative must address the following seven points. Although no specific page limitation applies to this section of the application, be succinct.

(1) **Human Subjects Involvement and Characteristics:** Provide a detailed description of the proposed involvement of human subjects. Describe the characteristics of the subject population, including their anticipated number, age range, and health status. Identify the criteria for inclusion or exclusion of any subpopulation. Explain the rationale for the involvement of special classes of subjects, such as children, children with disabilities, adults with disabilities, persons with mental disabilities, pregnant women, prisoners, institutionalized individuals, or others who are likely to be vulnerable

(2) **Sources of Materials:** Identify the sources of research material obtained from individually identifiable living human subjects in the form of specimens, records, or data. Indicate whether the material or data will be obtained specifically for research purposes or whether use will be made of existing specimens, records, or data.

(3) **Recruitment and Informed Consent:** Describe plans for the recruitment of subjects and the consent procedures to be followed. Include the circumstances under which consent will be sought and obtained, who will seek it, the

nature of the information to be provided to prospective subjects, and the method of documenting consent. State if the Institutional Review Board (IRB) has authorized a modification or waiver of the elements of consent or the requirement for documentation of consent.

(4) **Potential Risks:** Describe potential risks (physical, psychological, social, legal, or other) and assess their likelihood and seriousness. Where appropriate, describe alternative treatments and procedures that might be advantageous to the subjects.

(5) **Protection Against Risk:** Describe the procedures for protecting against or minimizing potential risks, including risks to confidentiality, and assess their likely effectiveness. Where appropriate, discuss provisions for ensuring necessary medical or professional intervention in the event of adverse effects to the subjects. Also, where appropriate, describe the provisions for monitoring the data collected to ensure the safety of the subjects.

(6) **Importance of the Knowledge to be Gained:** Discuss the importance of the knowledge gained or to be gained as a result of the proposed research. Discuss why the risks to subjects are reasonable in relation to the anticipated benefits to subjects and in relation to the importance of the knowledge that may reasonably be expected to result.

(7) **Collaborating Site(s):** If research involving human subjects will take place at collaborating site(s) or other performance site(s), name the sites and briefly describe their involvement or role in the research.



**U.S. DEPARTMENT OF EDUCATION
BUDGET INFORMATION
NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1890-0004

Expiration Date:

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION A - BUDGET SUMMARY
U.S. DEPARTMENT OF EDUCATION FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

Name of Institution/Organization

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

**SECTION B - BUDGET SUMMARY
NON-FEDERAL FUNDS**

Budget Categories	Project Year 1 (a)	Project Year 2 (b)	Project Year 3 (c)	Project Year 4 (d)	Project Year 5 (e)	Total (f)
1. Personnel						
2. Fringe Benefits						
3. Travel						
4. Equipment						
5. Supplies						
6. Contractual						
7. Construction						
8. Other						
9. Total Direct Costs (lines 1-8)						
10. Indirect Costs						
11. Training Stipends						
12. Total Costs (lines 9-11)						

SECTION C - OTHER BUDGET INFORMATION (see instructions)

Public reporting burden for this collection of information is estimated to vary from 13 to 22 hours per response, with an average of 17.5 hours per response, including the time reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Education, Information Management and

General Instructions

This form is used to apply to individual U.S. Department of Education discretionary grant programs. Unless directed otherwise, provide the same budget information for each year of the multi-year funding request. Pay attention to applicable program specific instructions, if attached.

Section A - Budget Summary U.S. Department of Education Funds

All applicants must complete Section A and provide a breakdown by the applicable budget categories shown in lines 1-11.

Lines 1-11, columns (a)-(e): For each project year for which funding is requested, show the total amount requested for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If funding is requested for only one project year, leave this column blank.

Line 12, columns (a)-(e): Show the total budget request for each project year for which funding is requested.

Line 12, column (f): Show the total amount requested for all project years. If funding is requested for only one year, leave this space blank.

Section B - Budget Summary Non-Federal Funds

If you are required to provide or volunteer to provide matching funds or other non-Federal resources to the project, these should be shown for each applicable budget category on lines 1-11 of Section B.

Lines 1-11, columns (a)-(e): For each project year for which matching funds or other contributions are provided, show the total contribution for each applicable budget category.

Lines 1-11, column (f): Show the multi-year total for each budget category. If non-Federal contributions are provided for only one year, leave this column blank.

Line 12, columns (a)-(e): Show the total matching or other contribution for each project year.

Compliance Division, Washington, D.C. 20202-4651; and the Office of Management and Budget, Paperwork Reduction Project 1875-0102, Washington DC 20503.

INSTRUCTIONS FOR ED FORM 524

Line 12, column (f): Show the total amount to be contributed for all years of the multi-year project. If non-Federal contributions are provided for only one year, leave this space blank.

Section C - Other Budget Information Pay attention to applicable program specific instructions, if attached.

1. Provide an itemized budget breakdown, by project year, for each budget category listed in Sections A and B.
2. If applicable to this program, enter the type of indirect rate (provisional, predetermined, final or fixed) that will be in effect during the funding period. In addition, enter the estimated amount of the base to which the rate is applied, and the total indirect expense.
3. If applicable to this program, provide the rate and base on which fringe benefits are calculated.
4. Provide other explanations or comments you deem necessary.

ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0040), Washington, DC 20503

PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

Note: Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.
2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.
3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.
4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.
5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. §§ 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).
6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. §§ 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) §§ 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§ 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. § 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.
7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. ☐☐1501-1508 and 7324-7328) which limit
9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. ☐☐276a to 276a-7), the Copeland Act (40 U.S.C. ☐276c and 18 U.S.C. ☐☐874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. ☐☐ 327-333), regarding labor standards for federally assisted construction subagreements.
10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.
11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. ☐☐1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. ☐☐7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).
12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. ☐☐1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

13. Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. ☐470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. ☐☐469a-1 et seq.).
14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.
15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. ☐☐2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.
16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. ☐☐4801 et seq.) which prohibits the use of lead-based paint in construction or rehabilitation of residence structures.
17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, ☐Audits of States, Local Governments, and Non-Profit Organizations. ☐
18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL		TITLE
APPLICANT ORGANIZATION		DATE SUBMITTED

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Education determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 34 CFR Part 82, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 34 CFR Part 82, Sections 82.105 and 82.110, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

As required by Executive Order 12549, Debarment and Suspension, and implemented at 34 CFR Part 85, for prospective participants in primary covered transactions, as defined at 34 CFR Part 85, Sections 85.105 and 85.110--

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (2)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transaction (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610 -

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about:

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 34 CFR Part 85, Subpart F, for grantees, as defined at 34 CFR Part 85, Sections 85.605 and 85.610-

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Director, Grants Policy and Oversight Staff, Department of Education, 400 Maryland Avenue, S.W. (Room 3652, GSA Regional Office Building No. 3), Washington, DC 20202-4248. Notice shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND / OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**Certification Regarding Debarment, Suspension, Ineligibility and
Voluntary Exclusion -- Lower Tier Covered Transactions**

This certification is required by the Department of Education regulations implementing Executive Order 12549, Debarment and Suspension, 34 CFR Part 85, for all lower tier transactions meeting the threshold and tier requirements stated at Section 85.110.

Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include the clause titled ☐ Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion-Lower Tier Covered Transactions, ☐ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may but is not required to, check the Nonprocurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

Certification

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

(See reverse for public burden disclosure)

1. Type of Federal Action: _____ a. contract _____ b. grant _____ c. cooperative agreement _____ d. loan _____ e. loan guarantee _____ f. loan insurance	2. Status of Federal Action: _____ a. bid/offer/application _____ b. initial award _____ c. post-award	3. Report Type: _____ a. initial filing _____ b. material change For material change only: Year _____ quarter _____ Date of last report _____
4. Name and Address of Reporting Entity: _____ Prime _____ Subawardee _____ Tier _____, if Known: Congressional District, if known:	5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime: Congressional District, if known:	
6. Federal Department/Agency:	7. Federal Program Name/Description: CFDA Number, if applicable: _____	
8. Federal Action Number, if known:	9. Award Amount, if known: \$	
10. a. Name and Address of Lobbying Registrant <i>(if individual, last name, first name, MI):</i>	b. Individuals Performing Services <i>(including address if different from No. 10a)</i> <i>(last name, first name, MI):</i>	
11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.	Signature: _____ Print Name: _____ Title: _____ Telephone No.: _____ Date: _____	
Federal Use Only	Authorized for Local Reproduction Standard Form - LLL (Rev. 7-97)	

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, State and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee," then enter the full name, address, city, State and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitations for Bid (IFB) number; grant announcement number; the contract, grant, or loan award number; the application/proposal control number assigned by the Federal agency). Included prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, State and zip code of the lobbying registrant under the Lobbying Disclosure Act of 1995 engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10(a). Enter Last Name, First Name, and Middle Initial (MI).
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB control Number. The valid OMB control number for this information collection is OMB No. 0348-0046. Public reporting burden for this collection of information is estimated to average 10 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, DC 20503

NOTICE TO ALL APPLICANTS

The purpose of this enclosure is to inform you about a new provision in the Department of Education's General Education Provisions Act (GEPA) that applies to applicants for new grant awards under Department programs. This provision is Section 427 of GEPA, enacted as part of the Improving America's Schools Act of 1994 (Public Law (P.L.) 103-382).

To Whom Does This Provision Apply?

Section 427 of GEPA affects applicants for new grant awards under this program. **ALL APPLICANTS FOR NEW AWARDS MUST INCLUDE INFORMATION IN THEIR APPLICATIONS TO ADDRESS THIS NEW PROVISION IN ORDER TO RECEIVE FUNDING UNDER THIS PROGRAM.**

(If this program is a State-formula grant program, a State needs to provide this description only for projects or activities that it carries out with funds reserved for State-level uses. In addition, local school districts or other eligible applicants that apply to the State for funding need to provide this description in their applications to the State for funding. The State would be responsible for ensuring that the school district or other local entity has submitted a sufficient section 427 statement as described below.)

What Does This Provision Require?

Section 427 requires each applicant for funds (other than an individual person) to include in its application a description of the steps the applicant proposes to take to ensure equitable access to, and participation in, its Federally-assisted program for students, teachers, and other program beneficiaries with special needs. This provision allows applicants discretion in developing the required description. The statute highlights six types of barriers that can impede equitable access or participation: gender, race, national origin, color, disability, or age. Based on local circumstances, you should determine whether these or other barriers may prevent your students, teachers, etc. from such access or participation in, the Federally-funded project or activity. The description in your application of steps to be taken to overcome these barriers need not be lengthy; you may provide a clear and succinct

description of how you plan to address those barriers that are applicable to your circumstances. In addition, the information may be provided in a single narrative, or, if appropriate, may be discussed in connection with related topics in the application.

Section 427 is not intended to duplicate the requirements of civil rights statutes, but rather to ensure that, in designing their projects, applicants for Federal funds address equity concerns that may affect the ability of certain potential beneficiaries to fully participate in the project and to achieve to high standards. Consistent with program requirements and its approved application, an applicant may use the Federal funds awarded to it to eliminate barriers it identifies.

What are Examples of How an Applicant Might Satisfy the Requirement of This Provision?

The following examples may help illustrate how an applicant may comply with Section 427.

- (1) An applicant that proposes to carry out an adult literacy project serving, among others, adults with limited English proficiency, might describe in its application how it intends to distribute a brochure about the proposed project to such potential participants in their native language.
- (2) An applicant that proposes to develop instructional materials for classroom use might describe how it will make the materials available on audio tape or in braille for students who are blind.
- (3) An applicant that proposes to carry out a model science program for secondary students and is concerned that girls may be less likely than boys to enroll in the course, might indicate how it intends to conduct "outreach" efforts to girls, to encourage their enrollment.

We recognize that many applicants may already be implementing effective steps to ensure equity of access and participation in their grant programs, and we appreciate your cooperation in responding to the requirements of this provision.

Estimated Burden Statement for GEPA Requirements

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. The valid OMB control number for this information collection is **1890-0007**. The time required to complete this information collection is estimated to average 1.5 hours per response, including the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. **If you have any comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to:** Director, Grants Policy and Oversight Staff, U.S. Department of Education, 400 Maryland Avenue, SW (Room 3652, GSA Regional Office Building No. 3). Washington, DC 20202-4248.

Appendix

Intergovernmental Review of Federal Programs

This appendix applies to each program that is subject to the requirements of Executive Order 12372 (Intergovernmental Review of Federal Programs) and the regulations in 34 CFR part 79.

The objective of the Executive order is to foster an intergovernmental partnership and to strengthen federalism by relying on State and local processes for State and local government coordination and review of proposed Federal financial assistance.

Applicants must contact the appropriate State Single Point of Contact to find out about, and to comply with, the State's process under Executive Order 12372. Applicants proposing to perform activities in more than one State should immediately contact the Single Point of Contact for each of those States and follow the procedure established in each of those States under the Executive order. A listing containing the Single Point of Contact for each State is included in this appendix.

In States that have not established a process or chosen a program for review, State, areawide, regional, and local entities may submit comments directly to the Department.

Any State Process Recommendation and other comments submitted by a State Single Point of Contact and any comments from State, areawide, regional, and local entities must be mailed or hand-delivered by the date indicated in the actual application notice to the following address: The Secretary, EO 12372--CFDA# [commenter must insert number--including suffix letter, if any], U.S. Department of Education, room 7W301, 400 Maryland Avenue, SW., Washington, DC 20202.

Proof of mailing will be determined on the same basis as applications (see 34 CFR 75.102). Recommendations or comments may be hand-delivered until 4:30 p.m. (Washington, DC time) on the date indicated in the actual application notice.

PLEASE NOTE THAT THE ABOVE ADDRESS IS NOT THE SAME ADDRESS AS THE ONE TO WHICH THE APPLICANT SUBMITS ITS COMPLETED APPLICATION. DO NOT SEND APPLICATIONS TO THE ABOVE ADDRESS.

The list below, prepared by the U.S. Department of Education is an unofficial version of the State Single Point of Contact (SPOC) List published by the Office of Management and Budget (OMB). The Department has made every effort to ensure the accuracy of the information contained in this unofficial version. It reflects those changes made by OMB as of 08/15/01. The only official and up to date version of the State Single Point of Contact (SPOC) List is posted on the Grants Management section of the OMB web site: <http://www.whitehouse.gov/omb/grants/spoc.html>. You may review and/or download the Adobe pdf (portable document format) version of this document at the aforementioned site. Please include this statement in any reproduction of this unofficial list.

You are strongly encouraged to access the Intergovernmental Review (SPOC List) link to the Grants Management Information section of the OMB web page regularly in the course of completing grant applications to be submitted to your designated State Single Point of Contact (SPOC). If you do not have access to the Internet, please use the list below to contact the office or individual listed in order to confirm the State Single Point of Contact (SPOC).

STATE SINGLE POINTS OF CONTACT (SPOCs)

It is estimated that in 2001, the Federal Government will outlay \$305.6 billion in grants to State and local governments. Executive Order 12372, "Intergovernmental Review of Federal Programs," was issued with the desire to foster the intergovernmental partnership and strengthen federalism by relying on State and local processes for the coordination and review of proposed Federal financial assistance and direct Federal development. The Order allows each State to designate an entity to perform this function. Below is the official list of those entities. For those States that have a home page for their designated entity, a direct link has been provided on the official version <http://www.whitehouse.gov/omb/grants/spoc.html>.

States that are not listed on this page have chosen not to participate in the intergovernmental review process, and therefore do not have a SPOC. If you are located within one of these States, you may still send application material directly to a Federal awarding agency.

Contact information for Federal agencies that award grants can be found in Appendix IV of the Catalog of Federal Domestic Assistance. [<http://www.cfda.gov/public/cat-app4-index.htm>]

ARKANSAS

Tracy L. Copeland
Manager, State Clearinghouse
Office of Intergovernmental
Services
Department of Finance and
Admin.
1515 W. 7th St., Room 412
Little Rock, Arkansas 72203
Telephone: (501) 682-1074
Fax: (501) 682-5206
tlcopeland@dfa.state.ar.us

CALIFORNIA

Grants Coordination
State Clearinghouse
Office of Planning and Research
P.O. Box 3044, Room 222
Sacramento, California 95812-3044
Telephone: (916) 445-0613
Fax: (916) 323-3018
state.clearinghouse@opr.ca.gov

DELAWARE

Sandra R. Stump
Executive Department
Office of the Budget
540 S. Dupont Highway, 3rd
Floor
Dover, Delaware 19901
Telephone: (302) 739-3323
Fax: (302) 739-5661
sandy.stump@state.de.us

DISTRICT OF COLUMBIA

Luisa Montero-Diaz
Office of Partnerships and Grants
Development
Executive Office of the Mayor
District of Columbia Government
441 4th Street, NW, Suite 530 South
Washington, DC 20001
Telephone: (202) 727-8900
Fax: (202) 727-1652
opgd.eom@dc.gov

FLORIDA

Cindy Cranick
3900 Commonwealth Boulevard
Douglas Building, Mailstop 47
Tallahassee, Florida 32399-3000
Telephone: (850) 922-5438
Fax: (850) 414-0479
cindy.cranick@dca.state.fl.us

GEORGIA

Barbara Jackson
Georgia State Clearinghouse
270 Washington Street, SW
Atlanta, Georgia 30334
Telephone: (404) 656-3855
Fax: (404) 656-7901
gach@mail.opb.state.ga.us

ILLINOIS

Rukaya McCaffrey
Department of Commerce and
Community Affairs
620 East Adams, 6th Floor
Springfield, Illinois 62701
Telephone: (217) 524-0188
Fax (217) 558-0473
rmccaffr@commerce.state.il.us

IOWA

Steven R. McCann
Division of Community and Rural
Development
Iowa Department of Economic
Development
200 East Grand Avenue
Des Moines, Iowa 50309
Telephone: (515) 242-4719
Fax: (515) 242-4809
steve.mccann@ided.state.ia.us

KENTUCKY

Ron Cook
Department for Local Government
1024 Capital Center Drive, Suite
340
Frankfort, Kentucky 40601
Telephone: (502) 573-2382
Fax: (502) 573-2512
ron.cook@mail.state.ky.us

MAINE

Joyce Benson
State Planning Office
184 State Street
38 State House Station
Augusta, Maine 04333
Telephone: (207) 287-3261
(direct) (207) 287-1461
Fax: (207) 287-6489
joyce.benson@state.me.us

MARYLAND

Linda C. Janey, J.D.
Director, Capital Plng. & Devel.
Review
Maryland Department of Planning
301 West Preston Street, Room
1104
Baltimore, Maryland 21201-2305
Telephone: (410) 767-4490
Fax: (410) 767-4480
linda@mail.op.state.md.us

MICHIGAN

Richard Pfaff
Southeast Michigan Council of
Governments
535 Griswold, Suite 300
Detroit, Michigan 48226
Telephone: (313) 961-4266
Fax: (313) 961-4869
pfaff@semcog.org

MISSISSIPPI

Cathy Mallette
Clearinghouse Officer
Department of Finance and
Administration
1301 Woolfolk Building, Suite E
501 North West Street
Jackson, Mississippi 39201
Telephone: (601) 359-6762
Fax: (601) 359-6758

MISSOURI

Angela Boessen
Federal Assistance Clearinghouse
Office of Administration
P.O. Box 809
Truman Building, Room 840
Jefferson City, Missouri 65102
Telephone: (573) 751-4834
Fax: (573) 522-4395
igr@mail.oa.state.mo.us

NEVADA

Heather Elliott
Department of Administration
State Clearinghouse
209 E. Musser Street, Room 200
Carson City, Nevada 89701
Telephone: (775) 684-0209
Fax: (775) 684-0260
helliott@govmail.state.nv.us

NEW HAMPSHIRE

Jeffrey H. Taylor
Director, New Hampshire Office of
State Planning
Attn: Intergovernmental Review
Process
Mike Blake
2-1/2 Beacon Street
Concord, New Hampshire 03301
Telephone: (603) 271-2155
Fax: (603) 271-1728
jtaylor@osp.state.nh.us

NEW MEXICO

Ken Hughes
Local Government Division
Room 201 Bataan Memorial
Building
Santa Fe, New Mexico 87503
Telephone: (505) 827-4370
Fax: (505) 827-4948
khughes@dfa.state.nm.us

NORTH CAROLINA

Jeanette Furney
Department of Administration
1302 Mail Service Center
Raleigh, North Carolina 27699-1302
Telephone: (919) 807-2323
Fax: (919) 733-9571
jeanette.furney@ncmail.net

NORTH DAKOTA

Jim Boyd
Division of Community Services
600 East Boulevard Ave, Dept 105
Bismarck, North Dakota 58505-
0170
Telephone: (701) 328-2094
Fax: (701) 328-2308
jboyd@state.nd.us

RHODE ISLAND

Kevin Nelson
Department of Administration
Statewide Planning Program
One Capitol Hill
Providence, Rhode Island 02908-
5870
Telephone: (401) 222-2093
Fax: (401) 222-2083
knelson@doa.state.ri.us

SOUTH CAROLINA

Omeagia Burgess
Budget and Control Board
Office of State Budget
1122 Ladies Street, 12th Floor
Columbia, South Carolina 29201
Telephone: (803) 734-0494
Fax: (803) 734-0645
aburgess@budget.state.sc.us

TEXAS

Denise S. Francis
Director, State Grants Team
Governor's Office of Budget and
Planning
P.O. Box 12428
Austin, Texas 78711
Telephone: (512) 305-9415
Fax: (512) 936-2681
dfrancis@governor.state.tx.us

UTAH

Clare Walters
Utah State Clearinghouse
Governor's Office of Planning and
Budget
State Capitol, Room 116
Salt Lake City, Utah 84114
Telephone: (801) 538-1555
Fax: (801) 538-1547
cwalters@utah.gov

WEST VIRGINIA

Fred Cutlip, Director
Community Development Division
West Virginia Development Office
Building #6, Room 553
Charleston, West Virginia 25305
Telephone: (304) 558-4010
Fax: (304) 558-3248
fcutlip@wvdo.org

<u>WISCONSIN</u> Jeff Smith Section Chief, Federal/State Relations Wisconsin Department of Administration 101 East Wilson Street, 6th Floor P.O. Box 7868 Madison, Wisconsin 53707 Telephone: (608) 266-0267 Fax: (608) 267-6931 jeffrey.smith@doa.state.wi.us	AMERICAN SAMOA Pat M. Galea'i Federal Grants/Programs Coordinator Office of Federal Programs/Office of the Governor Department of Commerce American Samoa Government Pago Pago, American Samoa 96799 Telephone: (684) 633-5155 Fax: (684) 633-4195 pmgaleai@samoatelco.com
GUAM Director Bureau of Budget and Mgmt. Research Office of the Governor P.O. Box 2950 Agana, Guam 96910 Telephone: 011-671-472-2285 Fax: 011-472-2825 jer@ns.gov.gu	PUERTO RICO Jose Caballero / Mayra Silva Puerto Rico Planning Board Federal Proposals Review Office Minillas Government Center P.O. Box 41119 San Juan, Puerto Rico 00940-1119 Telephone: (787) 723-6190 Fax: (787) 722-6783
NORTH MARIANA ISLANDS Ms. Jacoba T. Seman Federal Programs Coordinator Office of Management and Budget Office of the Governor Saipan, MP 96950 Telephone: (670) 664-2289 Fax: (670) 664-2272 omb.jseman@saipan.com	VIRGIN ISLANDS Ira Mills Director, Office of Management and Budget #41 Norre Gade Emancipation Garden Station, Second Floor Saint Thomas, Virgin Islands 00802 Telephone: (340) 774-0750 Fax: (340) 776-0069 Irmills@usvi.org

Changes to this list can be made only after OMB is notified by a State's officially designated representative. E-mail messages can be sent to grants@omb.eop.gov. If you prefer, you may send correspondence to the following postal address:

Attn: Grants Management
Office of Management and Budget
New Executive Office Building, Suite 6025
725 17th Street, NW
Washington, DC 20503

Please note: Inquiries about obtaining a Federal grant should not be sent to the OMB e-mail or postal address shown above. The best source for this information is the Catalog of Federal Domestic Assistance (CFDA) [<http://www.cfda.gov/>].

**IMPORTANT NOTICE TO PROSPECTIVE PARTICIPANTS
IN U.S. DEPARTMENT OF EDUCATION
GRANT AND CONTRACT PROGRAMS**

GRANTS

Applicants for grants from the U.S. Department of Education (ED) have to compete for limited funds. Deadlines assure all applicants that they will be treated fairly and equally, without last minute haste. For these reasons, ED must set strict deadlines for grant applications. Prospective applicants can avoid disappointment if they understand that:

Failure to meet a deadline will mean that an applicant will be rejected without any consideration.

The rules, including the deadline, for applying for each grant are published, individually, in the Federal Register. A one-year subscription to the Register may be obtained by sending \$555.00 to: Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402-9371. (Send check or money order only, no cash or stamps.) In addition, the Federal Register is available on-line for free on Government Printing Office (GPO) Access: <http://www.access.gpo.gov/nara>. Depository Library location and Federal Register services: <http://www.nara.gov/fedreg>.

The instructions in the Federal Register must be followed exactly. Do not accept any other advice you may receive. No ED employee is authorized to extend any deadline published in the Register. No ED employees are authorized to extend any deadline published in the Federal Register. Questions regarding submission of applications may be addressed to:

U.S. Department of Education
Application Control Center
Washington, D.C. 20202-4725

CONTRACTS

Competitive procurement actions undertaken by the ED are governed by the Federal Acquisition Regulations and implementing Department of Education Acquisition Regulations.

Generally, prospective competitive procurement actions are synopsisized in the Commerce Business Daily (CBD). Prospective offerors are therein advised of the nature of the procurement and where to apply for copies of the Request for Proposals (RFP). All of ED's RFP's are now available on-line for downloading at the following url:
<http://www.ed.gov/offices/ocfo/contracts/currfrp.html>.

Offerors are advised to be guided solely by the contents of the CBD synopsis and the instructions contained in the RFP. Questions regarding the submission of offers should be addressed to the Contracts Specialist identified on the face page of the RFP. Offers are judged in competition with others, and failure to conform with any substantive requirements of the RFP will result in rejection of the offer without any consideration whatever.

Do not accept any advice you receive that is contrary to instructions contained in either the CBD synopsis or the RFP. No ED employee is authorized to consider a proposal which is non-responsive to the RFP. A subscription to the CBD is available for \$208.00 per year via second class mailing or \$261.00 per year via first class mailing. Information included in the Federal Acquisition Regulation is contained in Title 48, Code of Federal Regulations, Chapter 1 (\$49.00). The foregoing publication may be obtained by sending your check or money order only, no cash or stamps, to:

Superintendent of Documents
U.S. Government Printing Office
Washington, D.C. 20402-9371

In addition, the Commerce Business Daily is available on-line for free at the following url: <http://cbdnet.access.gpo.gov/>. The Federal Acquisition Regulations are available on-line at the following url: <http://www.arnet.gov/far/>. In an effort to be certain this important information is widely disseminated, this notice is being included in all ED mail to the public. You may therefore, receive more than one notice. If you do, we apologize for any annoyance it may cause you.

ED FORM 5348, 7/01

